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Form 990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

2012

Open to Public Inspection

For calendar year 2012, or tax year beginning 01-01-2012 , and ending 12-31-2012

| | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Name of foundation SADIE AND LOUIS ROTH FOUNDATION C/O GEORGE F HEINRICH MD % GEORGE F HEINRICH MD | | A Employer identification number 13-3071645 | |
| Number and street (or P O box number if mail is not delivered to street address) PO BOX 367 Suite | | B Telephone number (see instructions) (212) 794-2155 | |
| City or town, state, and ZIP code ELMWOOD PARK, NJ 07407 | | C If exemption application is pending, check here <input type="checkbox"/> | |
| G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div> | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> | |
| H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> | |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 1,364,427 | | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | |
| J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) <input type="checkbox"/> (Part I, column (d) must be on cash basis.) | | | |

| Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</small> | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | 0 | | | |
| | 2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 51 | 51 | | |
| | 4 Dividends and interest from securities. | 21,234 | 21,234 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 77,563 | | | |
| | b Gross sales price for all assets on line 6a _____ 293,949 | | | | |
| | 7 Capital gain net income (from Part IV , line 2) | | 77,563 | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| Operating and Administrative Expenses | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 Total. Add lines 1 through 11 | 98,848 | 98,848 | | |
| | 13 Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) | 5,000 | 4,000 | 0 | 1,000 |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) | 123 | 123 | | |
| | 19 Depreciation (attach schedule) and depletion . . . | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) | 23,699 | 23,449 | | 250 |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 28,822 | 27,572 | 0 | 1,250 |
| | 25 Contributions, gifts, grants paid | 140,000 | | | 140,000 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 168,822 | 27,572 | 0 | 141,250 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | -69,974 | | | |
| | b Net investment income (if negative, enter -0-) | | 71,276 | | |
| | c Adjusted net income (if negative, enter -0-) | | | | |

| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | Beginning of year | End of year | |
|------------------------|-----|--------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash—non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 23,160 | 23,672 | 23,672 |
| | 3 | Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 4 | Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U S and state government obligations (attach schedule) | | | |
| | b | Investments—corporate stock (attach schedule) | 1,045,287 | 974,801 | 1,340,755 |
| | c | Investments—corporate bonds (attach schedule) | 0 | | |
| | 11 | Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 15 | Other assets (describe ▶ _____) | | | |
| | 16 | Total assets (to be completed by all filers—see the instructions Also, see page 1, item I) | 1,068,447 | 998,473 | 1,364,427 |

| | | | | | |
|-------------|----|--------------------------------------------------------------------------|--|---|--|
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ _____) | | | |
| | 23 | Total liabilities (add lines 17 through 22) | | 0 | |

| | | | | | |
|-----------------------------|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|--|
| Net Assets or Fund Balances | | Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | |
| | 24 | Unrestricted | 1,068,447 | 998,473 | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31. | | | |
| | 27 | Capital stock, trust principal, or current funds | | | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | Total net assets or fund balances (see page 17 of the instructions) | 1,068,447 | 998,473 | |
| | 31 | Total liabilities and net assets/fund balances (see page 17 of the instructions) | 1,068,447 | 998,473 | |

Part III Analysis of Changes in Net Assets or Fund Balances

| | | | |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 1 | Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return) | 1 | 1,068,447 |
| 2 | Enter amount from Part I, line 27a | 2 | -69,974 |
| 3 | Other increases not included in line 2 (itemize) ▶ _____ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 998,473 |
| 5 | Decreases not included in line 2 (itemize) ▶ _____ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 998,473 |

Part IV Capital Gains and Losses for Tax on Investment Income

| | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|----------------------------------------------|--------------------------------------|----------------------------------|
| (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co) | | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo , day, yr) | (d) Date sold (mo , day, yr) |
| 1 a | MORGAN STANLEY A/C 313-38564-13 - SEE ATT STMT | P | | 2012-12-31 |
| b | MORGAN STANLEY A/C 313-38564-13 - SEE ATT STMT | P | | 2012-12-31 |
| c | MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT | | | 2012-12-31 |
| d | MORGAN STANLEY A/C 552-128026-482 - SEE ATT STMT | P | | 2012-12-31 |
| e | | | | |

| | | | |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
| a 12,604 | | 12,010 | 594 |
| b 34,132 | | 24,285 | 9,847 |
| c 21,068 | | 20,124 | 944 |
| d 226,145 | | 159,967 | 66,178 |
| e | | | |

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| | | | |
|--------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
| a | | | 594 |
| b | | | 9,847 |
| c | | | 944 |
| d | | | 66,178 |
| e | | | |

| | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---|--------|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | 2 | 77,563 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 } | | 3 | |

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

| | | | |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-----------------------------------------------------------|
| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
| 2011 | 141,236 | 1,415,939 | 0 099747 |
| 2010 | 142,400 | 1,399,324 | 0 101763 |
| 2009 | 143,100 | 1,334,929 | 0 107197 |
| 2008 | 143,959 | 1,631,386 | 0 088243 |
| 2007 | 145,971 | 1,988,371 | 0 073412 |

| | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 2 Total of line 1, column (d). | 2 | 0 470362 |
| 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0 094072 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5. | 4 | 1,408,357 |
| 5 Multiply line 4 by line 3. | 5 | 132,487 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 713 |
| 7 Add lines 5 and 6. | 7 | 133,200 |
| 8 Enter qualifying distributions from Part XII, line 4. | 8 | 141,250 |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See
the Part VI instructions

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

| | | | | | | |
|----|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------|-------|--|
| 1a | | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 | | | | |
| | | Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions) | | | | |
| b | | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b | | 1 | 713 | |
| c | | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | | |
| 2 | | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 2 | | |
| 3 | | Add lines 1 and 2. | | 3 | 713 | |
| 4 | | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 4 | | |
| 5 | | Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0- | | 5 | 713 | |
| 6 | | Credits/Payments | | | | |
| a | | 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 1,065 | | |
| b | | Exempt foreign organizations—tax withheld at source | 6b | | | |
| c | | Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| d | | Backup withholding erroneously withheld | 6d | | | |
| 7 | | Total credits and payments Add lines 6a through 6d. | | 7 | 1,065 | |
| 8 | | Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached | | 8 | | |
| 9 | | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | | 9 | | |
| 10 | | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. | | 10 | 352 | |
| 11 | | Enter the amount of line 10 to be Credited to 2013 estimated tax <input checked="" type="checkbox"/> | 352 | Refunded <input checked="" type="checkbox"/> | 11 | |

Part VII-AStatements Regarding Activities

| | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? <input checked="" type="checkbox"/> | | Yes | No |
| | 1a | | | No |
| b | Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? | | | No |
| | 1b | | | No |
| If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities. | | | | |
| c | Did the foundation file Form 1120-POL for this year?. | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input checked="" type="checkbox"/> \$ _____ (2) On foundation managers <input checked="" type="checkbox"/> \$ _____ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ _____ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? | 2 | | No |
| If "Yes," attach a detailed description of the activities. | | | | |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes <input checked="" type="checkbox"/> | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of \$1,000 or more during the year?. | 4a | | No |
| b | If "Yes," has it filed a tax return on Form 990-T for this year?. | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? | 5 | | No |
| If "Yes," attach the statement required by General Instruction T. <input checked="" type="checkbox"/> | | | | |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either <ul style="list-style-type: none">By language in the governing instrument, orBy state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | Yes | |
| 7 | Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> _____ | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation . | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | No |

Part VII-A

Statements Regarding Activities *(continued)*

| | | | | |
|-------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions). | 11 | | No |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |
| Website address | | | | |
| 14 | The books are in care of GEORGE F HEINRICH MD Telephone no | | | |
| Located at PO BOX 367 ELMWOOD PARK NJ ZIP +4 07407 | | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year. | 15 | | |
| 16 | At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | No |
| See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country | | | | |

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

| | | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
| File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. | | | Yes | No |
| 1a | During the year did the foundation (either directly or indirectly) | | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? | | | | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | | | | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | | | | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | | | | |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | | | | |
| (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). | | | | |
| b | If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. | 1b | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012? | 1c | | No |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? If "Yes," list the years 20, 20, 20, 20 | | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). | 2b | | No |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20, 20, 20, 20 | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | | | |
| b | If "Yes," did it have excess business holdings in 2012 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012). | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | No |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012? | 4b | | No |

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

| | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------|----------------------------------------|----|
| 5a During the year did the foundation pay or incur any amount to | | | | |
| (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions). | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? | | 5b | | |
| Organizations relying on a current notice regarding disaster assistance check here. | | | | |
| c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? | | <input type="checkbox"/> Yes | <input type="checkbox"/> No | |
| If "Yes," attach the statement required by Regulations section 53.4945–5(d). | | | | |
| 6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | 6b | | No |
| If "Yes" to 6b, file Form 8870. | | | | |
| 7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | | 7b | | No |

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

| | | | | |
|------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| 1 List all officers, directors, trustees, foundation managers and their compensation (see instructions). | | | | |
| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| DR GEORGE HEINRICH | V PRES | 0 | 0 | 0 |
| PO BOX 367 | 0 | | | |
| ELMWOOD PARK,NJ 07407 | | | | |
| ANTHONY P LEICHTER | PRES | 0 | 0 | 0 |
| 565 FIFTH AVENUE | 0 | | | |
| NEWYORK,NY 10017 | | | | |
| 2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE." | | | | |
| (a) Name and address of each employee paid more than \$50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total number of other employees paid over \$50,000. | | | | 0 |

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

| 3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE". | | |
|------------------------------------------------------------------------------------------------------------------|---------------------|------------------|
| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
| | | |
| | | |
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| | | |
| | | |
| | | |
| | | |
| Total number of others receiving over \$50,000 for professional services. | | 0 |

Part IX-A

Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| 1 NONE | 0 |
| 2 | |
| | |
| | |
| 3 | |
| | |
| | |
| 4 | |
| | |
| | |

Part IX-B

Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|------------------------------------------------------------------------------------------------------------------|--------|
| 1 | |
| | |
| | |
| 2 | |
| | |
| | |
| All other program-related investments. See page 24 of the instructions. | |
| 3 | |
| | |
| | |
| Total. Add lines 1 through 3. | |

Part X

Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

| | | | |
|---|--------------------------------------------------------------------------------------------------------------------|----|-----------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | |
| a | Average monthly fair market value of securities. | 1a | 1,379,834 |
| b | Average of monthly cash balances. | 1b | 49,970 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 1,429,804 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). | 1e | |
| 2 | Acquisition indebtedness applicable to line 1 assets. | 2 | 0 |
| 3 | Subtract line 2 from line 1d. | 3 | 1,429,804 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 21,447 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 1,408,357 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 70,418 |

Part XI

Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

| | | | |
|----|-----------------------------------------------------------------------------------------------------------|----|--------|
| 1 | Minimum investment return from Part X, line 6. | 1 | 70,418 |
| 2a | Tax on investment income for 2012 from Part VI, line 5. | 2a | 713 |
| b | Income tax for 2012 (This does not include the tax from Part VI). | 2b | |
| c | Add lines 2a and 2b. | 2c | 713 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1. | 3 | 69,705 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | |
| 5 | Add lines 3 and 4. | 5 | 69,705 |
| 6 | Deduction from distributable amount (see instructions). | 6 | |
| 7 | Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. | 7 | 69,705 |

Part XII

Qualifying Distributions (see instructions)

| | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----|---------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes | | |
| a | Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. | 1a | 141,250 |
| b | Program-related investments—total from Part IX-B. | 1b | 0 |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. | 2 | 0 |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required). | 3a | 0 |
| b | Cash distribution test (attach the required schedule). | 3b | 0 |
| 4 | Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 141,250 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). | 5 | 713 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4. | 6 | 140,537 |
| Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years | | | |

Part XIII

Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2011 | (c) 2011 | (d) 2012 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2012 from Part XI, line 7 | | | | 69,705 |
| 2 Undistributed income, if any, as of the end of 2012 | | | | |
| a Enter amount for 2011 only. | | | 0 | |
| b Total for prior years 2010 , 2009 , 2008 | | 0 | | |
| 3 Excess distributions carryover, if any, to 2012 | | | | |
| a From 2007. | 50,810 | | | |
| b From 2008. | 62,452 | | | |
| c From 2009. | 76,354 | | | |
| d From 2010. | 72,434 | | | |
| e From 2011. | 72,567 | | | |
| f Total of lines 3a through e. | 334,617 | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 141,250 | | | | |
| a Applied to 2011, but not more than line 2a | | | 0 | |
| b Applied to undistributed income of prior years (Election required—see instructions). | | | | |
| c Treated as distributions out of corpus (Election required—see instructions). | | | | |
| d Applied to 2012 distributable amount. | | | | 69,705 |
| e Remaining amount distributed out of corpus | 71,545 | | | |
| 5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).) | | | | |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 406,162 | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b. | | 0 | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. | | | | |
| d Subtract line 6c from line 6b Taxable amount—see instructions | | 0 | | |
| e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions | | | 0 | |
| f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013 | | | | 0 |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions). | | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions). . . | 50,810 | | | |
| 9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a | 355,352 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2008. . . . | 62,452 | | | |
| b Excess from 2009. . . . | 76,354 | | | |
| c Excess from 2010. . . . | 72,434 | | | |
| d Excess from 2011. . . . | 72,567 | | | |
| e Excess from 2012. . . . | 71,545 | | | |

Part XIVPrivate Operating Foundations (see instructions and Part VII-A, question 9)

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling.

b

Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

| | | | | | | |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------|----------|---------------|----------|----------|-----------|
| 2a | Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed. | Tax year | Prior 3 years | | | (e) Total |
| | | (a) 2012 | (b) 2011 | (c) 2010 | (d) 2009 | |
| | | | | | | |
| b | 85% of line 2a | | | | | |
| c | Qualifying distributions from Part XII, line 4 for each year listed. | | | | | |
| d | Amounts included in line 2c not used directly for active conduct of exempt activities. | | | | | |
| e | Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c. | | | | | |
| 3 | Complete 3a, b, or c for the alternative test relied upon | | | | | |
| a | "Assets" alternative test—enter | | | | | |
| | (1) Value of all assets | | | | | |
| | (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b | "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. | | | | | |
| c | "Support" alternative test—enter | | | | | |
| | (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties). | | | | | |
| | (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). | | | | | |
| | (3) Largest amount of support from an exempt organization | | | | | |
| | (4) Gross investment income | | | | | |

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))

b

List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

2

Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a

The name, address, and telephone number of the person to whom applications should be addressed

b

The form in which applications should be submitted and information and materials they should include

c

Any submission deadlines

d

Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

Part XV

Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|---------|
| Name and address (home or business) | | | | |
| a Paid during the year See Additional Data Table | | | | |
| Total | | | 3a | 140,000 |
| b Approved for future payment | | | | |
| Total | | | 3b | |

Enter gross amounts unless otherwise indicated

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Form **990-PF** (2012)

| | | | | |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------|-----------|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes | No |
| | | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of | | | |
| | (1) Cash. | 1a(1) | | No |
| | (2) Other assets. | 1a(2) | | No |
| b | Other transactions | | | |
| | (1) Sales of assets to a noncharitable exempt organization. | 1b(1) | | No |
| | (2) Purchases of assets from a noncharitable exempt organization. | 1b(2) | | No |
| | (3) Rental of facilities, equipment, or other assets. | 1b(3) | | No |
| | (4) Reimbursement arrangements. | 1b(4) | | No |
| | (5) Loans or loan guarantees. | 1b(5) | | No |
| | (6) Performance of services or membership or fundraising solicitations. | 1b(6) | | No |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees. | 1c | | No |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|--------------------------|--------------------------|---------------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

**Sign
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.

* * * * *

2013-04-30

* * * * *

Signature of officer or trustee

Date

Title

May the IRS discuss this return with the preparer shown below (see instr. 2)? ☒ **Yes** ☐ **No**


**Paid
Preparer
Use Only**

| | | | | |
|----------------------------|----------------------|------|-------------------------------------------------|------|
| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed <input type="checkbox"/> | PTIN |
| Firm's name | KRANZ & COMPANY LLP | | Firm's EIN | |
| | 145 East 57TH STREET | | | |
| Firm's address | NEW YORK, NY 10022 | | Phone no (212) 355-4990 | |

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|--------|
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| YESHIVA UNIVERSITY 500 WEST 185TH NEW YORK,NY 10038 | NONE | PUBLIC CHARITY | SCHOLARSHIP | 10,000 |
| New York Hospital Queens 56-45 MAIN STREET FLUSHING,NY 11355 | NONE | PUBLIC CHARITY | RESEARCH | 50,000 |
| THE SKIN CANCER FOUNDATION 245 FIFTH AVENUE NEW YORK,NY 10016 | NONE | PUBLIC CHARITY | RESEARCH | 5,000 |
| JEWISH FAMILY & CHILDREN SERVICES 705 SUMMERFIELD AVENUE ASBURY PARK,NJ 07712 | NONE | PUBLIC CHARITY | GENERAL FUND | 200 |
| TRUSTEE OF THE UNIVERSITY OF PENNSYLVANIA PENN TOWER SUITE 1400 PHILADELPHIA,PA 19104 | NONE | PUBLIC CHARITY | RESEARCH | 1,000 |
| JEWISH FEDERATION OF PALM BEACH 4601 COMMUNITY DRIVE WEST PALM BEACH,FL 33417 | NONE | PUBLIC CHARITY | GENERAL FUND | 3,000 |
| Jewish Federation of Monmouth County 100 GRAND AVENUE DEAL,NJ 07723 | NONE | PUBLIC CHARITY | GENERAL FUND | 1,000 |
| FRIENDS OF KAREN 118 TITICUS ROAD PURDYS,NY 10578 | NONE | PUBLIC CHARITY | GENERAL FUND | 1,000 |
| PALM BEACH COUNTY CLUB FONDATION 760 NORTH OCEAN BLVD PALM BEACH,FL 33480 | NONE | PUBLIC | GENERAL FUND | 500 |
| Foundation for Healthcare Advancement 120 Albany Street New Brunswick,NJ 08901 | NONE | PUBLIC | SCHOLARSHIP | 15,000 |
| BEN GURION UNIVERSITY 1114 AVENUE OF AMERICAS NEW YORK,NY 10038 | NONE | PUBLIC CHARITY | EDUCATIONAL-GENERAL FUND | 6,700 |
| JOHN HOPKINS UNIVERSITY 1101 E 33RD ST STE C202 BALTIMORE,MD 21218 | NONE | PUBLIC CHARITY | SCHOLARSHIP | 38,250 |
| HILLEL HOUSE OF JOHN HOPKINS UNIVERSITY 1101 E 33RD ST STE C202 BALTIMORE,MD 21218 | NONE | PUBLIC CHARITY | GENERAL FUND | 3,000 |
| LOS ANGELES PHILHARMONIC ASSOCIATION 151 SOUTH GRAND AVE LOS ANGELES,CA 90012 | NONE | PUBLIC | GENERAL FUND | 2,500 |
| NEW YORK UNIVERSITY 730 Broadway Suite 9TH Floor NEW YORK,NY 10003 | NONE | PUBLIC | GENERAL FUND | 650 |

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|---------|
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| UNITED WAY OF PALM BEACH 2600 QUANTUM ROAD BOYNTON Beach,FL 33426 | NONE | PUBLIC | GENERAL FUND | 1,000 |
| AMERICAN FRIENDS OF MAGEN DAVID ADOM 352 Seventh Avenue Suite 400 NEWYORK,NY 10001 | none | Public | GENERAL FUND | 600 |
| TEMPLE BETH MIRIAM 180 LINCOLN AVENUE ELBERON,NJ 07740 | NONE | PUBLIC | GENERAL FUND | 300 |
| CONGREGATION OF BROTHERS OF ISRAEL 250 Park Ave Long Beach,NJ 07740 | NONE | PUBLIC | GENERAL FUND | 300 |
| Total  3a | | | | 140,000 |

TY 2012 Accounting Fees Schedule**Name:** SADIE AND LOUIS ROTH FOUNDATION

C/O GEORGE F HEINRICH MD

EIN: 13-3071645

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-----------------|--------|--------------------------|------------------------|---------------------------------------------|
| ACCOUNTING FEES | 5,000 | 4,000 | | 1,000 |

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2012 Depreciation Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

TY 2012 General Explanation Attachment

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

| Identifier | Return Reference | Explanation |
|-----------------------|-------------------------------------|-------------------------|
| schedule D attachment | schedule D- Capital Gain and Losses | Capital Gain and Losses |

| Identifier | Return Reference | Explanation |
|---------------------|------------------------|----------------------|
| securities schedule | Part II Balance Sheets | Investments Schedule |

**TY 2012 Investments Corporate
Bonds Schedule**

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD
EIN: 13-3071645

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|-----------------------|------------------------|-------------------------------|
| SEE SCHEDULE ATTACHED | | |

TY 2012 Investments Corporate Stock Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD

EIN: 13-3071645

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|-----------------------|------------------------|-------------------------------|
| SEE ATTACHED SCHEDULE | 974,801 | 1,340,755 |

TY 2012 Land, Etc. Schedule**Name:** SADIE AND LOUIS ROTH FOUNDATION

C/O GEORGE F HEINRICH MD

EIN: 13-3071645

TY 2012 Other Expenses Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION

C/O GEORGE F HEINRICH MD

EIN: 13-3071645

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|--------------------------|-----------------------------------|--------------------------|---------------------|------------------------------------------|
| BANK CHARGES | 300 | 300 | | |
| NYS DEPT OF LAW | 250 | | | 250 |
| INVESTMENT ADVISORY FEES | 23,139 | 23,139 | | |
| ADR FEES | 10 | 10 | | |

TY 2012 Taxes Schedule

Name: SADIE AND LOUIS ROTH FOUNDATION
C/O GEORGE F HEINRICH MD
EIN: 13-3071645

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-------------|--------|--------------------------|------------------------|---------------------------------------------|
| FOREIGN TAX | 123 | 123 | | |

Corporate Tax Statement Tax Year 2012

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P. LEICHTER, PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number 26-4310632

Taxpayer ID Number 13-3071645
Account Number 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|--------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| EATON CORP PLC SHS | | | | | | | | |
| | 48 000 | 12/03/12 | 12/12/12 | \$2,499.41 | \$2,479.44 | \$0.00 | \$19.97 | \$0.00 |
| EATON CORPORATION | | | | | | | | |
| | 3 000 | 12/14/11 | 12/03/12 | \$154.96 | \$125.40 | \$0.00 | \$29.56 | \$0.00 |
| ENGILITY HOLDINGS INC | | | | | | | | |
| | 0.000 | 07/17/12 | 07/17/12 | \$13.55 | \$0.00 | \$0.00 | \$13.55 | \$0.00 |
| | 4 000 | 11/08/11 | 07/19/12 | \$70.36 | \$67.92 | \$0.00 | \$2.44 | \$0.00 |
| | 2.000 | 12/14/11 | 07/19/12 | \$35.18 | \$38.56 | \$0.00 | (\$3.38) | \$0.00 |
| Security Subtotal | 6.000 | | | \$119.09 | \$106.48 | \$0.00 | \$12.61 | \$0.00 |
| EXPRESS SCRIPTS HLDG CO COM | | | | | | | | |
| | 47 000 | 01/04/12 | 10/11/12 | \$2,971.91 | \$2,239.05 | \$0.00 | \$732.86 | \$0.00 |
| HUMAN GENOME SCIENCES INC | | | | | | | | |
| | 178 000 | 07/29/11 | 07/16/12 | \$2,527.60 | \$3,731.87 | \$0.00 | (\$1,204.27) | \$0.00 |
| | 532.000 | 08/22/11 | 07/16/12 | \$7,554.39 | \$7,392.73 | \$0.00 | \$161.66 | \$0.00 |
| | 147.000 | 12/14/11 | 07/16/12 | \$2,087.39 | \$1,049.51 | \$0.00 | \$1,037.88 | \$0.00 |
| Security Subtotal | 857.000 | | | \$12,169.38 | \$12,174.11 | \$0.00 | (\$4.73) | \$0.00 |
| LIBERTY INTER CO VENTURE SER A | | | | | | | | |
| | 0 000 | 08/15/12 | 08/15/12 | \$30.62 | \$0.00 | \$0.00 | \$30.62 | \$0.00 |
| ORACLE CORP | | | | | | | | |
| | 47 000 | 10/19/11 | 10/11/12 | \$1,446.33 | \$1,477.12 | \$0.00 | (\$30.79) | \$0.00 |

CONTINUED ON NEXT PAGE

Corporate Tax Statement Tax Year 2012

THE SADIE & LOUIS ROTH
FOUNDATION, INC (N P.I.)
ANTHONY P. LEICHTER, PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|-----------------------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| XILINX INC | | CUSIP: 983919101 | Symbol (Box 1d): XLNX | | | | | |
| | 47.000 | 06/07/12 | 12/12/12 | \$1,676.53 | \$1,522.71 | \$0.00 | \$153.82 | \$0.00 |
| Total Short Term Noncovered Securities | | | | \$21,068.23 | \$20,124.31 | \$0.00 | \$943.92 | \$0.00 |

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| AKAMAI TECHNOLOGIES INC | | CUSIP: 00971T101 | Symbol (Box 1d): AKAM | | | | | |
| | 180.000 | 11/11/09 | 10/11/12 | \$6,833.20 | \$4,297.95 | \$0.00 | \$2,535.25 | \$0.00 |
| AMAZON COM INC | | CUSIP: 023135106 | Symbol (Box 1d): AMZN | | | | | |
| | 52.000 | 04/28/06 | 09/14/12 | \$13,559.66 | \$1,845.86 | \$0.00 | \$11,713.80 | \$0.00 |
| AMC NETWORKS INC CL A | | CUSIP: 00164V103 | Symbol (Box 1d): AMCX | | | | | |
| | 18.000 | 07/18/06 | 12/12/12 | \$938.13 | \$348.30 | \$0.00 | \$589.83 | \$0.00 |
| AMGEN INC | | CUSIP: 031162100 | Symbol (Box 1d): AMGN | | | | | |
| | 38.000 | 07/09/97 | 10/11/12 | \$3,217.76 | \$547.44 | \$0.00 | \$2,670.32 | \$0.00 |
| ANADARKO PETE | | CUSIP: 032511107 | Symbol (Box 1d): APC | | | | | |
| | 44.000 | 06/28/06 | 10/11/12 | \$3,042.73 | \$1,959.83 | \$0.00 | \$1,082.90 | \$0.00 |
| ANHEUSER BUSCH INBEV SA SPON | | CUSIP: 03524A108 | Symbol (Box 1d): BUD | | | | | |
| | 63.000 | 12/27/10 | 10/11/12 | \$5,473.31 | \$3,620.75 | \$0.00 | \$1,852.56 | \$0.00 |

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IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement Tax Year 2012

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P LEICHTER, PRESIDENT
P O BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632

Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

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|--------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| APACHE CORP | | | | | | | | |
| | | CUSIP: 037411105 | | Symbol (Box 1d): APA | | | | |
| | 85 000 | 07/23/10 | 12/12/12 | \$6,599.26 | \$7,810.98 | \$0.00 | (\$1,211.72) | \$0.00 |
| | 1,000 | 08/12/10 | 12/12/12 | \$77.64 | \$93.05 | \$0.00 | (\$15.41) | \$0.00 |
| Security Subtotal | 86,000 | | | \$6,676.90 | \$7,904.03 | \$0.00 | (\$1,227.13) | \$0.00 |
| APPLE INC | | | | | | | | |
| | | CUSIP: 037833100 | | Symbol (Box 1d): AAPL | | | | |
| | 4 000 | 08/05/11 | 10/11/12 | \$2,535.46 | \$1,491.65 | \$0.00 | \$1,043.81 | \$0.00 |
| AUTODESK INC DELAWARE | | | | | | | | |
| | | CUSIP: 052769106 | | Symbol (Box 1d): ADSK | | | | |
| | 41 000 | 03/23/07 | 10/11/12 | \$1,271.15 | \$1,591.52 | \$0.00 | (\$320.37) | \$0.00 |
| BIOGEN IDEC INC | | | | | | | | |
| | | CUSIP: 09062X103 | | Symbol (Box 1d): BIIB | | | | |
| | 72 000 | 04/28/06 | 10/11/12 | \$10,617.38 | \$3,276.59 | \$0.00 | \$7,340.79 | \$0.00 |
| | 45 000 | 04/28/06 | 10/11/12 | \$6,635.86 | \$2,047.87 | \$0.00 | \$4,587.99 | \$0.00 |
| | 1,000 | 04/28/06 | 10/11/12 | \$147.46 | \$45.55 | \$0.00 | \$101.91 | \$0.00 |
| Security Subtotal | 118,000 | | | \$17,400.70 | \$5,370.01 | \$0.00 | \$12,030.69 | \$0.00 |
| CABLEVISION SYSTEMS CORP | | | | | | | | |
| | | CUSIP: 12686C109 | | Symbol (Box 1d): CVC | | | | |
| | 71,000 | 07/18/06 | 10/11/12 | \$1,195.08 | \$907.31 | \$0.00 | \$287.77 | \$0.00 |
| CELGENE CORP | | | | | | | | |
| | | CUSIP: 151020104 | | Symbol (Box 1d): CELG | | | | |
| | 47 000 | 12/02/08 | 10/11/12 | \$3,662.81 | \$2,326.84 | \$0.00 | \$1,335.97 | \$0.00 |
| CHARLES SCHWAB NEW | | | | | | | | |
| | | CUSIP: 808513105 | | Symbol (Box 1d): SCHW | | | | |
| | 123 000 | 01/29/09 | 12/12/12 | \$1,684.21 | \$1,719.43 | \$0.00 | (\$35.22) | \$0.00 |
| CISCO SYS INC | | | | | | | | |
| | | CUSIP: 17275R102 | | Symbol (Box 1d): CSCO | | | | |
| | 595 000 | 06/28/06 | 07/10/12 | \$9,748.97 | \$11,376.40 | \$0.00 | (\$1,627.43) | \$0.00 |
| | 112,000 | 06/28/06 | 10/11/12 | \$2,045.46 | \$2,141.44 | \$0.00 | (\$95.98) | \$0.00 |

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Corporate Tax Statement Tax Year 2012

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

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|-------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| CISCO SYS INC | 248.000 | 06/28/06 | 11/06/12 | \$4,343.27 | \$4,741.76 | \$0.00 | (\$398.49) | \$0.00 |
| | 57.000 | 06/28/06 | 12/12/12 | \$1,124.76 | \$1,089.84 | \$0.00 | \$34.92 | \$0.00 |
| Security Subtotal | 1,012.000 | | | \$17,262.46 | \$19,349.44 | \$0.00 | (\$2,086.98) | \$0.00 |
| CME GROUP INC | | | | | | | | |
| | | CUSIP: 12572Q105 | | Symbol (Box 1d): CME | | | | |
| | 45.000 | 02/24/11 | 10/11/12 | \$2,545.89 | \$2,741.48 | \$0.00 | (\$195.59) | \$0.00 |
| | 18.000 | 02/25/11 | 10/11/12 | \$1,018.35 | \$1,118.75 | \$0.00 | (\$100.40) | \$0.00 |
| Security Subtotal | 63.000 | | | \$3,564.24 | \$3,860.23 | \$0.00 | (\$295.99) | \$0.00 |
| COMCAST CORP CL A SPECIAL NEW | | | | | | | | |
| | | CUSIP: 20030N200 | | Symbol (Box 1d): CMCSK | | | | |
| | 115.000 | 03/14/08 | 10/11/12 | \$3,962.81 | \$2,140.53 | \$0.00 | \$1,822.28 | \$0.00 |
| | 264.000 | 03/14/08 | 10/11/12 | \$9,097.23 | \$4,913.91 | \$0.00 | \$4,183.32 | \$0.00 |
| Security Subtotal | 379.000 | | | \$13,060.04 | \$7,054.44 | \$0.00 | \$6,005.60 | \$0.00 |
| COVIDIEN PLC NEW | | | | | | | | |
| | | CUSIP: G2554F113 | | Symbol (Box 1d): COV | | | | |
| | 26.000 | 06/28/06 | 10/11/12 | \$1,501.81 | \$885.27 | \$0.00 | \$616.54 | \$0.00 |
| CREE RESEARCH INC | | | | | | | | |
| | | CUSIP: 225447101 | | Symbol (Box 1d): CREE | | | | |
| | 110.000 | 06/28/06 | 12/12/12 | \$3,768.99 | \$2,490.40 | \$0.00 | \$1,278.59 | \$0.00 |
| CVS CAREMARK CORP | | | | | | | | |
| | | CUSIP: 126650100 | | Symbol (Box 1d): CVS | | | | |
| | 74.000 | 10/24/08 | 10/11/12 | \$3,534.40 | \$2,073.20 | \$0.00 | \$1,461.20 | \$0.00 |
| DEERE & CO | | | | | | | | |
| | | CUSIP: 244199105 | | Symbol (Box 1d): DE | | | | |
| | 23.000 | 06/10/11 | 10/11/12 | \$1,894.00 | \$1,872.36 | \$0.00 | \$21.64 | \$0.00 |

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Corporate Tax Statement Tax Year 2012

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

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|-------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| EATON CORPORATION | | CUSIP: 278058102 | Symbol (Box 1d): | | | | | |
| | 46 000 | 06/07/11 | 10/11/12 | \$2,056.15 | \$2,226.29 | \$0 00 | (\$170.14) | \$0 00 |
| | 159 000 | 06/07/11 | 12/03/12 | \$8,213.15 | \$7,695.24 | \$0 00 | \$517.91 | \$0 00 |
| | 229 000 | 10/19/11 | 12/03/12 | \$11,829.00 | \$9,567.16 | \$0.00 | \$2,261.84 | \$0.00 |
| Security Subtotal | 434 000 | | | \$22,098.30 | \$19,488.69 | \$0.00 | \$2,609.61 | \$0.00 |
| EBAY INC | | CUSIP: 278642103 | Symbol (Box 1d): EBAY | | | | | |
| | 155 000 | 03/14/07 | 09/14/12 | \$7,764.96 | \$4,748.61 | \$0.00 | \$3,016.35 | \$0 00 |
| | 115 000 | 03/14/07 | 12/12/12 | \$5,988.06 | \$3,523.16 | \$0.00 | \$2,464.90 | \$0.00 |
| Security Subtotal | 270 000 | | | \$13,753.02 | \$8,271.77 | \$0.00 | \$5,481.25 | \$0.00 |
| ENGILITY HOLDINGS INC | | CUSIP: 29285W104 | Symbol (Box 1d): EGL | | | | | |
| | 24 000 | 01/03/07 | 07/19/12 | \$422.16 | \$474.49 | \$0 00 | (\$52.33) | \$0 00 |
| EOG RESOURCES INC | | CUSIP: 26875P101 | Symbol (Box 1d): EOG | | | | | |
| | 25 000 | 10/04/11 | 10/11/12 | \$2,749.68 | \$1,761.94 | \$0 00 | \$987.74 | \$0 00 |
| FOREST LABORATORIES INC | | CUSIP: 345838106 | Symbol (Box 1d): FRX | | | | | |
| | 82 000 | 06/28/06 | 10/11/12 | \$3,001.28 | \$3,052.86 | \$0 00 | (\$51.58) | \$0.00 |
| GENERAL ELECTRIC CO | | CUSIP: 369604103 | Symbol (Box 1d): GE | | | | | |
| | 210 000 | 06/24/03 | 10/11/12 | \$4,737.49 | \$6,300.00 | \$0 00 | (\$1,562.51) | \$0.00 |
| | 150 000 | 06/24/03 | 12/21/12 | \$3,113.18 | \$4,500.00 | \$0.00 | (\$1,386.82) | \$0.00 |
| Security Subtotal | 360 000 | | | \$7,850.67 | \$10,800.80 | \$0.00 | (\$2,949.33) | \$0.00 |

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OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

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|---------------------------------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| HOME DEPOT INC CUSIP: 437076102 Symbol (Box 1d): HD | | | | | | | | |
| | 79 000 | 09/13/02 | 10/11/12 | \$4,669.88 | \$2,610.95 | \$0.00 | \$2,058.93 | \$0.00 |
| | 31 000 | 09/13/02 | 12/04/12 | \$2,001.76 | \$1,024.55 | \$0.00 | \$977.21 | \$0.00 |
| | 20 000 | 04/28/06 | 12/04/12 | \$1,291.46 | \$806.59 | \$0.00 | \$484.87 | \$0.00 |
| Security Subtotal | 130.000 | | | \$7,963.10 | \$4,442.09 | \$0.00 | \$3,521.01 | \$0.00 |
| IMMUNOGEN INC CUSIP: 45253H101 Symbol (Box 1d): IMGN | | | | | | | | |
| | 9.000 | 10/15/10 | 10/11/12 | \$131.78 | \$69.64 | \$0.00 | \$62.14 | \$0.00 |
| | 45.000 | 02/15/11 | 10/11/12 | \$658.92 | \$399.51 | \$0.00 | \$259.41 | \$0.00 |
| Security Subtotal | 54.000 | | | \$790.70 | \$469.15 | \$0.00 | \$321.55 | \$0.00 |
| ISIS PHARM INC CUSIP: 464330109 Symbol (Box 1d): ISIS | | | | | | | | |
| | 187 000 | 11/01/10 | 10/11/12 | \$2,336.41 | \$1,682.14 | \$0.00 | \$654.27 | \$0.00 |
| JOHNSON & JOHNSON CUSIP: 478160104 Symbol (Box 1d): JNJ | | | | | | | | |
| | 59.000 | 07/30/97 | 10/11/12 | \$4,009.77 | \$1,823.47 | \$0.00 | \$2,186.30 | \$0.00 |
| JUNIPER NETWORKS CUSIP: 48203R104 Symbol (Box 1d): JNPR | | | | | | | | |
| | 105.000 | 10/24/08 | 10/11/12 | \$1,718.08 | \$1,767.40 | \$0.00 | (\$49.32) | \$0.00 |
| | 64 000 | 11/06/08 | 10/11/12 | \$1,047.21 | \$1,074.08 | \$0.00 | (\$26.87) | \$0.00 |
| | 66 000 | 11/06/08 | 12/12/12 | \$1,254.64 | \$1,107.65 | \$0.00 | \$146.99 | \$0.00 |
| | 60 000 | 11/07/08 | 12/12/12 | \$1,140.58 | \$1,026.76 | \$0.00 | \$113.82 | \$0.00 |
| | 29 000 | 02/19/09 | 12/12/12 | \$551.28 | \$432.60 | \$0.00 | \$118.68 | \$0.00 |
| Security Subtotal | 324.000 | | | \$5,711.79 | \$5,408.49 | \$0.00 | \$303.30 | \$0.00 |

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Corporate Tax Statement Tax Year 2012

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OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

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|--------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| LIBERTY INTER CO VENTURE SER A | | CUSIP: 53071M880 | Symbol (Box 1d): LVNTA | | | | | |
| | 7 000 | 03/17/08 | 08/17/12 | \$292.67 | \$266.48 | \$0.00 | \$24.19 | \$0.00 |
| | 12 000 | 01/28/09 | 08/17/12 | \$501.73 | \$100.21 | \$0.00 | \$401.52 | \$0.00 |
| Security Subtotal | 19 000 | | | \$794.40 | \$368.69 | \$0.00 | \$425.71 | \$0.00 |
| LIBERTY INTERACTIVE CO INTER A | | CUSIP: 53071M104 | Symbol (Box 1d): LINTA | | | | | |
| | 51 000 | 03/17/08 | 10/11/12 | \$981.95 | \$715.06 | \$0.00 | \$266.89 | \$0.00 |
| LIBERTY MEDIA CO LIBERTY CAP A | | CUSIP: 530322106 | Symbol (Box 1d): | | | | | |
| | 23 000 | 01/29/09 | 10/11/12 | \$2,495.81 | \$126.44 | \$0.00 | \$2,369.37 | \$0.00 |
| LIBERTY VENTURES RT 10 9 12 | | CUSIP: 53071M112 | Symbol (Box 1d): | | | | | |
| | 1 000 | 03/17/08 | 09/14/12 | \$13.90 | \$9.02 | \$0.00 | \$4.88 | \$0.00 |
| | 2 000 | 03/17/08 | 09/14/12 | \$27.81 | \$16.63 | \$0.00 | \$11.18 | \$0.00 |
| | 4 000 | 01/28/09 | 09/14/12 | \$55.61 | \$9.57 | \$0.00 | \$46.04 | \$0.00 |
| Security Subtotal | 7 000 | | | \$97.32 | \$35.22 | \$0.00 | \$62.10 | \$0.00 |
| MICROSOFT CORP | | CUSIP: 594918104 | Symbol (Box 1d): MSFT | | | | | |
| | 116 000 | 04/28/06 | 10/11/12 | \$3,364.36 | \$2,805.81 | \$0.00 | \$558.55 | \$0.00 |
| NATIONAL OILWELL VARCO INC | | CUSIP: 637071101 | Symbol (Box 1d): NOV | | | | | |
| | 11 000 | 01/13/09 | 10/11/12 | \$869.93 | \$289.65 | \$0.00 | \$580.28 | \$0.00 |
| NETAPP INC COM | | CUSIP: 64110D104 | Symbol (Box 1d): NTAP | | | | | |
| | 51 000 | 02/24/11 | 12/12/12 | \$1,697.83 | \$2,586.87 | \$0.00 | (\$889.04) | \$0.00 |
| PENTAIR LTD | | CUSIP: H6169Q108 | Symbol (Box 1d): PNR | | | | | |
| | 0 580 | 11/07/07 | 09/28/12 | \$25.73 | \$17.75 | \$0.00 | \$7.98 | \$0.00 |

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Corporate Tax Statement
Tax Year 2012

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|------------------------------|----------------------|------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| PROCTER & GAMBLE | | CUSIP: 742718109 | Symbol (Box 1d): PG | | | | | |
| | 18 000 | 03/12/02 | 10/11/12 | \$1,225.95 | \$613.85 | \$0.00 | \$612.10 | \$0.00 |
| SANDISK CORP | | CUSIP: 80004C101 | Symbol (Box 1d): SNDK | | | | | |
| | 24 000 | 07/06/06 | 10/11/12 | \$1,016.24 | \$1,173.77 | \$0.00 | (\$157.53) | \$0.00 |
| SEAGATE TECHNOLOGY PLC | | CUSIP: G7945M107 | Symbol (Box 1d): STX | | | | | |
| | 282.000 | 01/18/07 | 10/11/12 | \$7,980.44 | \$7,391.22 | \$0.00 | \$589.22 | \$0.00 |
| | 55.000 | 05/01/07 | 10/11/12 | \$1,556.47 | \$1,189.72 | \$0.00 | \$366.75 | \$0.00 |
| Security Subtotal | 337.000 | | | \$9,536.91 | \$8,580.94 | \$0.00 | \$955.97 | \$0.00 |
| THE ADT CORPORATION COM | | CUSIP: 00101J106 | Symbol (Box 1d): ADT | | | | | |
| | 20.000 | 06/28/06 | 10/11/12 | \$725.04 | \$539.62 | \$0.00 | \$185.42 | \$0.00 |
| | 16 000 | 01/03/07 | 10/11/12 | \$580.04 | \$497.18 | \$0.00 | \$82.86 | \$0.00 |
| | 15 000 | 01/03/07 | 12/12/12 | \$676.33 | \$466.11 | \$0.00 | \$210.22 | \$0.00 |
| | 3.000 | 11/07/07 | 12/12/12 | \$135.27 | \$80.84 | \$0.00 | \$54.43 | \$0.00 |
| Security Subtotal | 54.000 | | | \$2,116.68 | \$1,583.75 | \$0.00 | \$532.93 | \$0.00 |
| THERMO FISHER SCIENTIFIC INC | | CUSIP: 883556102 | Symbol (Box 1d): TMO | | | | | |
| | 41 000 | 06/10/10 | 10/11/12 | \$2,423.19 | \$2,102.87 | \$0.00 | \$320.32 | \$0.00 |
| | 35.000 | 06/11/10 | 10/11/12 | \$2,068.57 | \$1,804.25 | \$0.00 | \$264.32 | \$0.00 |
| Security Subtotal | 76.000 | | | \$4,491.76 | \$3,907.12 | \$0.00 | \$584.64 | \$0.00 |
| VERTEX PHARMACEUTICALS | | CUSIP: 92532F100 | Symbol (Box 1d): VRTX | | | | | |
| | 9.000 | 10/31/08 | 10/11/12 | \$511.72 | \$230.00 | \$0.00 | \$281.72 | \$0.00 |
| | 23 000 | 11/03/08 | 10/11/12 | \$1,307.73 | \$624.65 | \$0.00 | \$683.08 | \$0.00 |
| | 4.000 | 11/04/08 | 10/11/12 | \$227.43 | \$108.00 | \$0.00 | \$119.43 | \$0.00 |
| | 4.000 | 11/05/08 | 10/11/12 | \$227.43 | \$109.68 | \$0.00 | \$117.75 | \$0.00 |

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Page 15 of 18

Corporate Tax Statement Tax Year 2012

THE SADIE & LOUIS ROTH
FOUNDATION, INC (N.P.I.)
ANTHONY P. LEICHTER, PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
Harborside Financial Center
Plaza 2 2nd Floor
Jersey City, NJ 07311
Identification Number: 26-4310632
Taxpayer ID Number: 13-3071645
Account Number: 552 128026 482
Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked)
(Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|------------------------|----------------------|-------------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| VERTEX PHARMACEUTICALS | 13 000 | 11/11/08 | 10/11/12 | \$739.15 | \$350.51 | \$0.00 | \$388.64 | \$0.00 |
| | 34.000 | 11/12/08 | 10/11/12 | \$1,933.18 | \$908.79 | \$0.00 | \$1,024.39 | \$0.00 |
| Security Subtotal | 87.000 | | | \$4,946.64 | \$2,331.63 | \$0.00 | \$2,615.01 | \$0.00 |
| VISA INC CL A | | CUSIP: 92826C839 Symbol (Box 1d): V | | | | | | |
| | 50 000 | 06/11/10 | 10/11/12 | \$6,944.34 | \$3,776.90 | \$0.00 | \$3,167.44 | \$0.00 |

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Corporate Tax Statement Tax Year 2012

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)
ANTHONY P. LEICHTER, PRESIDENT
P.O. BOX 367
ELMWOOD PARK NJ 07407-0367

Morgan Stanley Smith Barney Holdings LLC
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Identification Number: 25-4310632
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Account Number: 552-128026 482
Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

| DESCRIPTION (Box 8) | QUANTITY (Box 1e) | DATE ACQUIRED (Box 1b) | DATE OF SALE (Box 1a) | SALES PRICE (Box 2a) | ADJUSTED COST OR OTHER BASIS (Box 3) | WASH SALE LOSS DISALLOWED (Box 5) | GAIN/(LOSS) AMOUNT | FEDERAL INCOME TAX WITHHELD (Box 4) |
|--------------------------------------------------------------|----------------------|---------------------------------------|-----------------------------|-------------------------|--------------------------------------------|-----------------------------------------|-----------------------|-------------------------------------------|
| WALT DISNEY CO HLDG CO | | CUSIP: 254687106 Symbol (Box 1d): DIS | | | | | | |
| | 8 000 | 01/17/01 | 10/11/12 | \$403.62 | \$264.96 | \$0.00 | \$138.66 | \$0.00 |
| | <u>47,000</u> | 04/23/99 | 10/11/12 | <u>\$2,371.24</u> | <u>\$1,597.29</u> | <u>\$0.00</u> | <u>\$773.95</u> | <u>\$0.00</u> |
| Security Subtotal | 55,000 | | | \$2,774.86 | \$1,862.25 | \$0.00 | \$912.61 | \$0.00 |
| Total Long Term Noncovered Securities | | | | \$226,144.63 | \$159,967.05 | \$0.00 | \$66,177.58 | \$0.00 |
| Total Short and Long Term, Covered and Noncovered Securities | | | | \$247,212.86 | \$180,091.36 | \$0.00 | \$67,121.50 | \$0.00 |

Form 1099-B Total Reportable Amounts

| | |
|-----------------------------------------|--------------|
| Total Sales Price (Box 2) | \$247,212.86 |
| Total Cost or Other Basis (Box 3) | \$0.00 |
| Total Wash Sale Loss Disallowed (Box 5) | \$0.00 |
| Total Fed Tax Withheld (Box 4) | \$0.00 |

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS.



Ref. 00002885 00022039

2012 Year End Summary

THE SADIE & LOUIS ROTH

Account Number 313-38564-13 471

Details of Long Term Gain (Loss) 2012

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|------------------|----------|--------------------------------------------------|--------------------|--------------------|---------------------|---------------------|--------------------|---------------------|
| 125000010 | 21 | ANHEUSER-BUSCH INBEV SPONS ADR | 12/27/10 | 05/09/12 | \$ 1,505.26 | \$ 1,206.92 | | \$ 298.34 |
| 125000020 | 62 | BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES | 03/28/07 | 06/15/12 | 4,489.14 | 2,467.60 | | 2,021.54 |
| 125000030 | 33 | CVS CAREMARK CORP | 10/24/08 | 01/04/12 | 1,372.86 | 924.54 | | 448.32 |
| 125000050 | 100 | EBAY INC CGMI AND/OR ITS AFFILIATES | 03/14/07 | 01/04/12 | 3,014.88 | 3,063.62 | (48.74) | |
| 125000060 | 18 | HOME DEPOT INC | 09/13/02 | 01/04/12 | 768.74 | 594.90 | | 173.84 |
| 125000070 | 187 | ORACLE CORP CGMI AND/OR ITS AFFILIATES | 11/01/10 | 05/09/12 | 5,160.29 | 5,460.40 | (300.11) | |
| 125000080 | 113 | ORACLE CORP CGMI AND/OR ITS AFFILIATES | 11/01/10 | 06/14/12 | 3,049.97 | 3,299.60 | (249.63) | |
| 125000090 | 116 | PROCTER & GAMBLE CO | 03/12/02 | 05/09/12 | 7,393.37 | 3,955.90 | | 3,437.47 |
| 125000100 | 271 | TEXAS INSTRUMENTS INC CGMI AND/OR ITS AFFILIATES | 06/12/98 | 06/05/12 | 7,377.51 | 3,311.28 | | 4,066.23 |
| Total | | | | | \$ 34,132.02 | \$ 24,284.76 | (\$ 598.48) | \$ 10,445.74 |

Details of Short Term Gain (Loss) 2012

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

| Reference number | Quantity | Security Description | Opening Trade Date | Closing Trade Date | Sale Proceeds | Cost | (Loss) | Gain |
|------------------|----------|----------------------------------------|--------------------|--------------------|---------------------|---------------------|--------------------|--------------------|
| 125000040 | 47 | CUMMINS INC | 09/13/11 | 01/13/12 | \$ 4,573.74 | \$ 4,357.45 | | \$ 216.29 |
| | 57 | | 10/04/11 | | 5,546.88 | 4,761.54 | | 785.34 |
| 125000080 | 92 | ORACLE CORP CGMI AND/OR ITS AFFILIATES | 10/19/11 | 06/14/12 | 2,483.16 | 2,891.38 | (408.22) | |
| Total | | | | | \$ 12,603.78 | \$ 12,010.37 | (\$ 408.22) | \$ 1,001.63 |

2012 YEAR END SUMMARY





CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the "Unsettled Purchases/Sales Activity" section for more information.

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Expanded Disclosures. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column. Estimated accrued interest, estimated annual income and estimated yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) assume specified accrual conditions are met during the relevant observation period and payment in full of all contingent interest. If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosures.

New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

COMMON STOCKS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------|------------|----------|-----------|------------|--------------|----------------------------|-------------------------|------------------|
| AKAMAI TECHNOLOGIES INC (AKAM) | 11/11/09 | 208.000 | \$23.878 | \$4,966.52 | \$8,509.28 | \$3,542.76 LT | | |
| | 8/6/10 | 50.000 | 39.488 | 1,974.41 | 2,045.50 | 71.09 LT | | |
| | 10/19/11 | 140.000 | 23.018 | 3,222.52 | 5,727.40 | 2,504.88 LT | | |
| | 5/17/12 | 127.000 | 29.409 | 3,734.99 | 5,195.57 | 1,460.58 ST | | |
| | Total | 525.000 | | 13,898.44 | 21,477.75 | 6,118.73 LT 1,460.58 ST | — | — |

Share Price: \$40.910

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|------------------------------------------------------|------------|----------|-----------|------------|--------------|--------------------------|-------------------------|------------------|
| AMAZON COM INC (AMZN) | 4/28/06 | 27.000 | 35.497 | 958.42 | 6,773.49 | 5,815.07 LT | | |
| | 10/4/06 | 100.000 | 32.728 | 3,272.80 | 25,087.00 | 21,814.20 LT | | |
| | 11/8/11 | 9.000 | 218.068 | 1,962.61 | 2,257.83 | 295.22 LT | | |
| | 12/14/11 | 40.000 | 178.640 | 7,145.60 | 10,034.80 | 2,889.20 LT | | |
| | Total | 176.000 | | 13,339.43 | 44,153.12 | 30,813.69 LT | — | — |
| Share Price: \$250.870 | | | | | | | | |
| AMC NETWORKS INC CL A (AMCX) | 7/18/06 | 28.666 | 19.350 | 554.69 | 1,418.96 | 864.27 LT | | |
| | 4/7/08 | 24.888 | 21.518 | 535.54 | 1,231.95 | 696.41 LT | | |
| | 11/11/09 | 12.446 | 22.489 | 279.90 | 616.07 | 336.17 LT | | |
| | Total | 66.000 | | 1,370.13 | 3,267.00 | 1,896.85 LT | — | — |
| Share Price: \$49.500 | | | | | | | | |
| AMGEN INC (AMGN) | 7/9/97 | 119.000 | 14.406 | 1,714.34 | 10,257.80 | 8,543.46 LT | 223.72 | 2.18 |
| Share Price: \$86.200, Next Dividend Payable 03/2013 | | | | | | | | |
| ANADARKO PETE (APC) | 6/28/06 | 161.000 | 44.542 | 7,171.21 | 11,963.91 | 4,792.70 LT | | |
| | 12/14/11 | 2.000 | 73.565 | 147.13 | 148.62 | 1.49 LT | | |
| | 4/11/12 | 25.000 | 74.596 | 1,864.90 | 1,857.75 | (7.15) ST | | |
| | 6/1/12 | 48.000 | 59.085 | 2,836.06 | 3,566.88 | 730.82 ST | | |
| | Total | 236.000 | | 12,019.30 | 17,537.16 | 4,794.19 LT 723.67 ST | 84.96 | 0.48 |
| Share Price: \$74.310, Next Dividend Payable 03/2013 | | | | | | | | |
| ANHEUSER BUSCH INBEV SA SPON (BUD) | 12/27/10 | 65.000 | 57.472 | 3,735.70 | 5,681.65 | 1,945.95 LT | | |
| | 1/6/11 | 93.000 | 57.630 | 5,359.59 | 8,129.13 | 2,769.54 LT | | |
| | 10/19/11 | 74.000 | 54.318 | 4,019.54 | 6,468.34 | 2,448.80 LT | | |
| | Total | 232.000 | | 13,114.83 | 20,279.12 | 7,164.29 LT | 299.98 | 1.47 |
| Share Price: \$87.410 | | | | | | | | |
| APACHE CORP (APA) | 8/12/10 | 44.000 | 93.050 | 4,094.20 | 3,454.00 | (640.20) LT | | |
| | 3/17/11 | 32.000 | 117.631 | 3,764.19 | 2,512.00 | (1,252.19) LT | | |
| | 8/17/11 | 102.000 | 106.397 | 10,852.52 | 8,007.00 | (2,845.52) LT | | |
| | 12/9/11 | 21.000 | 96.254 | 2,021.33 | 1,648.50 | (372.83) LT | | |
| | 12/14/11 | 23.000 | 87.814 | 2,019.72 | 1,805.50 | (214.22) LT | | |
| | 10/11/12 | 41.000 | 86.050 | 3,528.05 | 3,218.50 | (309.55) ST | | |

CONTINUED



CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|-------------------------------------------------------------|--------------|----------|-----------|------------|--------------|------------------------------|-------------------------|------------------|
| Total | | 263.000 | | 26,280.01 | 20,645.50 | (5,324.96) LT (309.55) ST | 178.84 | 0.86 |
| <i>Share Price \$78.500, Next Dividend Payable 02/2013</i> | | | | | | | | |
| APPLE INC (AAPL) | 8/5/11 | 9.000 | 372.912 | 3,356.20 | 4,789.55 | 1,433.35 LT | | |
| | 8/8/11 | 13.000 | 362.947 | 4,718.31 | 6,918.24 | 2,199.93 LT | | |
| | 8/23/11 | 10.000 | 365.902 | 3,659.02 | 5,321.72 | 1,662.70 LT | | |
| | 12/12/12 | 5.000 | 537.350 | 2,686.75 | 2,660.86 | (25.89) ST | | |
| | Total | 37.000 | | 14,420.28 | 19,690.39 | 5,295.98 LT (25.89) ST | 392.20 | 1.99 |
| <i>Share Price \$532.173, Next Dividend Payable 02/2013</i> | | | | | | | | |
| AUTODESK INC DELAWARE (ADSK) | 3/23/07 | 143.000 | 38.818 | 5,550.90 | 5,055.05 | (495.85) LT | | |
| | 2/27/08 | 50.000 | 33.000 | 1,649.99 | 1,767.50 | 117.51 LT | | |
| | 1/14/09 | 65.000 | 17.771 | 1,155.10 | 2,297.75 | 1,142.65 LT | | |
| | 8/28/12 | 56.000 | 31.455 | 1,761.47 | 1,979.60 | 218.13 ST | | |
| | Total | 314.000 | | 10,117.46 | 11,099.90 | 764.31 LT 218.13 ST | — | — |
| <i>Share Price \$35.350</i> | | | | | | | | |
| BED BATH & BEYOND INC (BBBY) | 3/28/07 | 63.000 | 39.800 | 2,507.40 | 3,522.33 | 1,014.93 LT | | |
| | 1/10/08 | 250.000 | 26.524 | 6,630.88 | 13,977.50 | 7,346.62 LT | | |
| | 12/12/12 | 40.000 | 58.127 | 2,325.08 | 2,236.40 | (88.68) ST | | |
| | Total | 353.000 | | 11,463.36 | 19,736.23 | 8,361.55 LT (88.68) ST | — | — |
| <i>Share Price \$55.910</i> | | | | | | | | |
| BIOGEN IDEC INC (BIIB) | 4/28/06 | 49.000 | 45.508 | 2,229.90 | 7,172.13 | 4,942.23 LT | | |
| | 4/28/06 | 173.000 | 45.508 | 7,872.90 | 25,322.01 | 17,449.11 LT | | |
| | 4/28/06 | 1.000 | 45.508 | 45.51 | 146.37 | 100.86 LT | | |
| | 11/11/09 | 16.000 | 46.366 | 741.86 | 2,341.92 | 1,600.06 LT | | |
| | 11/11/09 | 30.000 | 46.366 | 1,390.99 | 4,391.10 | 3,000.11 LT | | |
| | Total | 269.000 | | 12,281.16 | 39,373.53 | 27,092.37 LT | — | — |
| <i>Share Price \$146.370</i> | | | | | | | | |

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------|-------------------------|------------------|
| BLACKROCK INC (BLK) | 3/20/09 | 5.000 | 114.340 | 571.70 | 1,033.55 | 461.85 LT | | |
| | 3/30/09 | 24.000 | 126.043 | 3,025.02 | 4,961.04 | 1,936.02 LT | | |
| | 4/8/09 | 22.000 | 128.524 | 2,827.52 | 4,547.62 | 1,720.10 LT | | |
| | 5/21/10 | 54.000 | 164.265 | 8,870.30 | 11,162.34 | 2,292.04 LT | | |
| | 10/19/11 | 31.000 | 149.684 | 4,640.20 | 6,408.01 | 1,767.81 LT | | |
| | Total | 136.000 | | 19,934.74 | 28,112.56 | 8,177.82 LT | 816.00 | 2.90 |
| <i>Share Price: \$206.710; Next Dividend Payable 03/2013</i> | | | | | | | | |
| BROADCOM CORP CL A (BRCM) | 10/4/06 | 99.000 | 29.169 | 2,887.73 | 3,287.79 | 400.06 LT C | | |
| | 10/4/06 | 197.000 | 29.169 | 5,746.30 | 6,542.37 | 796.07 LT C | | |
| | 10/4/06 | 4.000 | 29.168 | 116.67 | 132.84 | 16.17 LT C | | |
| | 1/11/08 | 41.000 | 22.835 | 936.24 | 1,361.61 | 425.37 LT C | | |
| | 1/11/08 | 84.000 | 22.835 | 1,918.16 | 2,789.64 | 871.48 LT C | | |
| | 5/17/11 | 40.000 | 33.457 | 1,338.27 | 1,328.40 | (9.87) LT C | | |
| | 5/17/11 | 81.000 | 33.457 | 2,710.00 | 2,690.01 | (19.99) LT C | | |
| | 6/8/11 | 43.000 | 33.835 | 1,454.89 | 1,428.03 | (26.86) LT C | | |
| | 6/8/11 | 89.000 | 33.835 | 3,011.28 | 2,955.69 | (55.59) LT C | | |
| | 11/8/11 | 32.000 | 35.880 | 1,148.16 | 1,062.72 | (85.44) LT C | | |
| | 11/8/11 | 67.000 | 35.880 | 2,403.96 | 2,225.07 | (178.89) LT C | | |
| | 12/9/11 | 59.000 | 30.030 | 1,771.76 | 1,959.39 | 187.63 LT C | | |
| | 12/9/11 | 119.000 | 30.030 | 3,573.56 | 3,951.99 | 378.43 LT C | | |
| | 12/14/11 | 2.000 | 28.510 | 57.02 | 66.42 | 9.40 LT C | | |
| | 12/14/11 | 6.000 | 28.507 | 171.04 | 199.26 | 28.22 LT C | | |
| | Total | 963.000 | | 29,245.04 | 31,981.23 | 2,736.19 LT | 385.20 | 1.20 |
| <i>Share Price: \$33.210; Next Dividend Payable 03/2013</i> | | | | | | | | |
| CABLEVISION SYSTEMS CORP (CVC) | 7/18/06 | 226.000 | 12.779 | 2,888.05 | 3,376.44 | 488.39 LT | | |
| | 4/7/08 | 100.000 | 14.210 | 1,421.04 | 1,494.00 | 72.96 LT | | |
| | 11/11/09 | 50.000 | 14.854 | 742.69 | 747.00 | 4.31 LT | | |
| | 11/8/11 | 165.000 | 15.200 | 2,507.92 | 2,465.10 | (42.82) LT | | |
| | 12/14/11 | 39.000 | 14.038 | 547.48 | 582.66 | 35.18 LT | | |
| | 12/12/12 | 122.000 | 14.560 | 1,776.37 | 1,822.68 | 46.31 ST | | |

CONTINUED



CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|-------------------------------------------------------------|--------------|-----------|-----------|------------|--------------|------------------------|-------------------------|------------------|
| | Total | 702 000 | | 9,883.55 | 10,487.88 | 558.02 LT 46.31 ST | 421.20 | 4.01 |
| <i>Share Price: \$14.940, Next Dividend Payable 02/2013</i> | | | | | | | | |
| CAMERON INTNL CORP (CAM) | 6/24/11 | 158.000 | 45.979 | 7,264.68 | 8,920.68 | 1,656.00 LT | | |
| | 7/14/11 | 50.000 | 49.668 | 2,483.40 | 2,823.00 | 339.60 LT | | |
| | 8/5/11 | 83.000 | 47.835 | 3,970.32 | 4,686.18 | 715.86 LT | | |
| | 11/8/11 | 62.000 | 52.310 | 3,243.22 | 3,500.52 | 257.30 LT | | |
| | 12/14/11 | 39.000 | 46.486 | 1,812.95 | 2,201.94 | 388.99 LT | | |
| | Total | 392.000 | | 18,774.57 | 22,132.32 | 3,357.75 LT | — | — |
| <i>Share Price: \$56.460</i> | | | | | | | | |
| CELGENE CORP (CELG) | 12/2/08 | 1.000 | 49.507 | 49.51 | 78.47 | 28.96 LT | | |
| | 12/3/08 | 62.000 | 51.198 | 3,174.27 | 4,865.14 | 1,690.87 LT | | |
| | 1/30/09 | 100.000 | 53.233 | 5,323.33 | 7,847.00 | 2,523.67 LT | | |
| | 5/28/09 | 100.000 | 41.616 | 4,161.56 | 7,847.00 | 3,685.44 LT | | |
| | 11/11/09 | 125.000 | 53.878 | 6,734.78 | 9,808.75 | 3,073.97 LT | | |
| | Total | 388.000 | | 19,443.45 | 30,446.36 | 11,002.91 LT | — | — |
| <i>Share Price: \$78.470</i> | | | | | | | | |
| CHARLES SCHWAB NEW (SCHW) | 1/29/09 | 277.000 | 13.979 | 3,872.21 | 3,977.72 | 105.51 LT | | |
| | 2/2/09 | 75.000 | 12.616 | 946.23 | 1,077.00 | 130.77 LT | | |
| | 2/19/09 | 450.000 | 13.000 | 5,849.87 | 6,462.00 | 612.13 LT | | |
| | 3/24/10 | 90.000 | 18.354 | 1,651.86 | 1,292.40 | (359.46) LT | | |
| | 11/8/11 | 85.000 | 12.808 | 1,088.68 | 1,220.60 | 131.92 LT | | |
| | 12/14/11 | 150.000 | 11.008 | 1,651.20 | 2,154.00 | 502.80 LT | | |
| | Total | 1,127.000 | | 15,060.05 | 16,183.72 | 1,123.67 LT | 270.48 | 1.67 |
| <i>Share Price: \$14.360; Next Dividend Payable 02/2013</i> | | | | | | | | |
| CISCO SYS INC (CSCO) | 6/28/06 | 333.000 | 19.120 | 6,366.96 | 6,543.24 | 176.28 LT | | |
| | 11/8/11 | 175.000 | 18.288 | 3,200.40 | 3,438.64 | 238.24 LT | | |
| | 12/14/11 | 10.000 | 17.959 | 179.59 | 196.49 | 16.90 LT | | |

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|-------------------------------------------------------------|------------|----------|-----------|------------|--------------|------------------------|-------------------------|------------------|
| Total | | 518.000 | | 9,746.95 | 10,178.38 | 431.42 LT | 290.08 | 2.84 |
| <i>Share Price: \$19.649, Next Dividend Payable 03/2013</i> | | | | | | | | |
| CITRIX SYSTEMS INC (CTXS) | 11/1/10 | 83.000 | 64.312 | 5,337.86 | 5,446.46 | 108.60 LT | | |
| | 1/14/11 | 12.000 | 67.745 | 812.94 | 787.44 | (25.50) LT | | |
| | 11/8/12 | 51.000 | 60.870 | 3,104.38 | 3,346.62 | 242.24 ST | | |
| | 11/8/12 | 6.000 | 60.892 | 365.35 | 393.72 | 28.37 ST | | |
| | 12/4/12 | 2.000 | 61.110 | 122.22 | 131.24 | 9.02 ST | | |
| | 12/4/12 | 22.000 | 61.108 | 1,344.38 | 1,443.64 | 99.26 ST | | |
| | 12/12/12 | 3.000 | 64.867 | 194.60 | 196.86 | 2.26 ST | | |
| | 12/12/12 | 84.000 | 63.914 | 5,368.81 | 5,512.08 | 143.27 ST | | |
| Total | | 263.000 | | 16,650.54 | 17,258.06 | 83.10 LT 524.42 ST | | |
| <i>Share Price: \$65.620</i> | | | | | | | | |
| CME GROUP INC (CME) | 2/25/11 | 7.000 | 62.153 | 435.07 | 354.69 | (80.38) LT | | |
| | 3/1/11 | 70.000 | 61.285 | 4,289.97 | 3,546.90 | (743.07) LT | | |
| | 3/2/11 | 25.000 | 61.297 | 1,532.43 | 1,266.75 | (265.68) LT | | |
| | 3/10/11 | 90.000 | 59.547 | 5,359.27 | 4,560.30 | (798.97) LT | | |
| | 12/14/11 | 30.000 | 47.900 | 1,437.00 | 1,520.10 | 83.10 LT | | |
| Total | | 222.000 | | 13,053.74 | 11,248.74 | (1,805.00) LT | 399.60 | 3.55 |
| <i>Share Price: \$50.670, Next Dividend Payable 03/2013</i> | | | | | | | | |
| COCA COLA CO (KO) | 2/22/06 | 684.000 | 21.080 | 14,418.72 | 24,795.00 | 10,376.28 LT | 697.68 | 2.81 |
| <i>Share Price: \$36.250, Next Dividend Payable 03/2013</i> | | | | | | | | |
| COMCAST CORP CL A SPECIAL NEW (CMCSK) | 3/14/08 | 206.000 | 18.613 | 3,834.34 | 7,399.52 | 3,565.18 LT | | |
| | 3/14/08 | 388.000 | 18.613 | 7,221.96 | 13,936.96 | 6,715.00 LT | | |
| | 3/14/08 | 2.000 | 18.613 | 37.23 | 71.84 | 34.61 LT | | |
| | 11/11/09 | 77.000 | 14.539 | 1,119.50 | 2,765.84 | 1,646.34 LT | | |
| | 11/11/09 | 83.000 | 14.539 | 1,206.74 | 2,981.36 | 1,774.62 LT | | |
| | 5/26/11 | 66.000 | 23.503 | 1,551.20 | 2,370.72 | 819.52 LT | | |
| | 5/26/11 | 71.000 | 23.503 | 1,668.72 | 2,550.32 | 881.60 LT | | |
| | 7/14/11 | 307.000 | 24.000 | 7,367.97 | 11,027.44 | 3,659.47 LT | | |
| | 7/14/11 | 331.000 | 24.000 | 7,943.97 | 11,889.52 | 3,945.55 LT | | |

CONTINUED



CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|-------------------------------------------------------------|------------|-----------|-----------|------------|--------------|--------------------------|-------------------------|------------------|
| Total | | 1,531,000 | | 31,951.63 | 54,993.52 | 23,041.89 LT | 995.15 | 1.80 |
| <i>Share Price \$35.920, Next Dividend Payable 01/23/13</i> | | | | | | | | |
| COVIDIEN PLC NEW (COV) | 6/28/06 | 89,666 | 34,049 | 3,053.04 | 5,177.31 | 2,124.27 LT | | |
| | 1/3/07 | 20,333 | 38,680 | 786.48 | 1,174.03 | 387.55 LT | | |
| | 12/14/11 | 3,001 | 42,173 | 126.56 | 173.28 | 46.72 LT | | |
| Total | | 113,000 | | 3,966.08 | 6,524.62 | 2,558.54 LT | 117.52 | 1.80 |
| <i>Share Price \$57.740, Next Dividend Payable 03/2013</i> | | | | | | | | |
| CREE RESEARCH INC (CREE) | 6/28/06 | 90,000 | 22,640 | 2,037.60 | 3,058.20 | 1,020.60 LT | | |
| | 6/16/11 | 67,000 | 35,845 | 2,401.62 | 2,276.66 | (124.96) LT | | |
| | 10/19/11 | 93,000 | 24,533 | 2,281.54 | 3,160.14 | 878.60 LT | | |
| | 12/14/11 | 47,000 | 21,989 | 1,033.50 | 1,597.06 | 563.56 LT | | |
| Total | | 297,000 | | 7,754.26 | 10,092.06 | 2,337.80 LT | — | — |
| <i>Share Price \$33.980</i> | | | | | | | | |
| CVS CAREMARK CORP (CVS) | 10/24/08 | 102,000 | 28,016 | 2,857.66 | 4,931.70 | 2,074.04 LT | | |
| | 11/6/08 | 95,000 | 29,966 | 2,846.75 | 4,593.25 | 1,746.50 LT | | |
| | 1/9/09 | 175,000 | 26,193 | 4,583.72 | 8,461.25 | 3,877.53 LT | | |
| | 5/28/09 | 100,000 | 29,347 | 2,934.72 | 4,835.00 | 1,900.28 LT | | |
| | 11/11/09 | 100,000 | 29,898 | 2,989.80 | 4,835.00 | 1,845.20 LT | | |
| | 11/19/09 | 54,000 | 30,943 | 1,670.91 | 2,610.90 | 939.99 LT | | |
| Total | | 626,000 | | 17,883.56 | 30,267.10 | 12,383.54 LT | 563.40 | 1.86 |
| <i>Share Price \$48.350, Next Dividend Payable 02/2013</i> | | | | | | | | |
| DEERE & CO (DE) | 6/10/11 | 31,000 | 81,407 | 2,523.61 | 2,679.02 | 155.41 LT | | |
| | 10/19/11 | 70,000 | 68,904 | 4,823.28 | 6,049.40 | 1,226.12 LT | | |
| | 9/14/12 | 52,000 | 81,785 | 4,252.83 | 4,493.84 | 241.01 ST | | |
| Total | | 153,000 | | 11,599.72 | 13,222.26 | 1,381.53 LT 241.01 ST | 281.52 | 2.12 |
| <i>Share Price \$86.420; Next Dividend Payable 02/01/13</i> | | | | | | | | |
| DIRECTV COM (DTV) | 4/24/07 | 136,000 | 21,303 | 2,897.25 | 6,821.76 | 3,924.51 LT | — | — |
| <i>Share Price \$50.160</i> | | | | | | | | |

CONTINUED

010208 MSGDT115 010525

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------------------------|-------------------------|------------------|
| DOLBY CLA A COM STK (DLB) | 10/29/08 | 91 000 | 29 740 | 2,706 31 | 2,669 03 | (37 28) LT | | |
| | 10/30/08 | 35 000 | 30.626 | 1,071.92 | 1,026.55 | (45 37) LT | | |
| | 10/31/08 | 5 000 | 31.864 | 159.32 | 146 65 | (12.67) LT | | |
| | 8/5/11 | 61.000 | 31.054 | 1,894.29 | 1,789.13 | (105.16) LT | | |
| | 10/11/12 | 115 000 | 31.799 | 3,656 91 | 3,372.95 | (283 96) ST | | |
| | Total | 307 000 | | 9,488 75 | 9,004.31 | (200 48) LT (283 96) ST | — | — |
| Share Price \$29.330 | | | | | | | | |
| EATON CORP PLC SHS (ETN) | 12/3/12 | 343 000 | 51 655 | 17,717 67 | 18,583.74 | 866 07 ST | 521 36 | 2 80 |
| Share Price: \$54 180 | | | | | | | | |
| EBAY INC (EBAY) | 3/14/07 | 255.000 | 30 636 | 7,812.23 | 13,004.41 | 5,192.18 LT | | |
| | 2/22/08 | 75.000 | 27 122 | 2,034.13 | 3,824.83 | 1,790 70 LT | | |
| | 2/5/10 | 230 000 | 22 536 | 5,183.30 | 11,729.47 | 6,546 17 LT | | |
| | 11/8/11 | 64 000 | 32 908 | 2,106.09 | 3,263.85 | 1,157 76 LT | | |
| | 12/14/11 | 66 000 | 30 216 | 1,994 25 | 3,365.85 | 1,371.60 LT | | |
| | Total | 690.000 | | 19,130 00 | 35,188.41 | 16,058.41 LT | — | — |
| Share Price: \$50.998 | | | | | | | | |
| EMC CORP MASS (EMC) | 10/19/11 | 389 000 | 23.608 | 9,183 51 | 9,841.70 | 658 19 LT | | |
| | 11/8/11 | 259 000 | 24 964 | 6,465 68 | 6,552 70 | 87.02 LT | | |
| | 12/14/11 | 75 000 | 22.138 | 1 660 34 | 1,897 50 | 237.16 LT | | |
| | Total | 723.000 | | 17,309.53 | 18,291.90 | 982 37 LT | — | — |
| Share Price: \$25.300 | | | | | | | | |
| EOG RESOURCES INC (EOG) | 10/4/11 | 71 000 | 70.477 | 5,003.90 | 8,576 09 | 3,572.19 LT | | |
| | 6/15/12 | 66.000 | 95.406 | 6,296 80 | 7,972 14 | 1,675.34 ST | | |
| | Total | 137.000 | | 11,300 70 | 16,548.23 | 3,572 19 LT 1,675.34 ST | 93 16 | 0.56 |
| Share Price \$120.790, Next Dividend Payable 01/2013 | | | | | | | | |
| EXPRESS SCRIPTS HLDG CO COM (ESRX) | 1/4/12 | 155.000 | 47 639 | 7,384 09 | 8,370.00 | 985 91 ST | | |
| | 2/3/12 | 45 000 | 52 100 | 2,344 48 | 2,430.00 | 85.52 ST | | |
| | 7/10/12 | 78.000 | 55 060 | 4,294 65 | 4,212.00 | (82 65) ST | | |
| | 12/12/12 | 46 000 | 54.100 | 2,488.60 | 2,484.00 | (4.60) ST | | |

CONTINUED



Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|------------|----------|-----------|------------|--------------|------------------------|-------------------------|------------------|
| Total | | 324.000 | | 16,511.82 | 17,496.00 | 984.18 ST | — | — |
| <i>Share Price \$54.000</i> | | | | | | | | |
| FLUOR CORP NEW (FLR) | 11/19/08 | 38.000 | 33.239 | 1,263.10 | 2,232.12 | 969.02 LT | | |
| | 11/20/08 | 75.000 | 30.469 | 2,285.21 | 4,405.50 | 2,120.29 LT | | |
| | 1/20/09 | 25.000 | 41.908 | 1,047.69 | 1,468.50 | 420.81 LT | | |
| | 4/7/09 | 25.000 | 37.436 | 935.91 | 1,468.50 | 532.59 LT | | |
| | 10/4/11 | 18.000 | 46.158 | 830.85 | 1,057.32 | 226.47 LT | | |
| | 12/14/11 | 7.000 | 48.266 | 337.86 | 411.18 | 73.32 LT | | |
| Total | | 188.000 | | 6,700.62 | 11,043.12 | 4,342.50 LT | 120.32 | 1.08 |
| <i>Share Price: \$58.740; Next Dividend Payable 01/03/13</i> | | | | | | | | |
| FOREST LABORATORIES INC (FRX) | 6/28/06 | 296.000 | 37.230 | 11,020.08 | 10,454.72 | (565.36) LT | | |
| | 11/11/09 | 80.000 | 28.849 | 2,307.88 | 2,825.60 | 517.72 LT | | |
| | 5/11/10 | 70.000 | 27.263 | 1,908.40 | 2,472.40 | 564.00 LT | | |
| | 12/14/11 | 1.000 | 28.530 | 28.53 | 35.32 | 6.79 LT | | |
| Total | | 447.000 | | 15,264.89 | 15,788.04 | 523.15 LT | — | — |
| <i>Share Price \$35.320</i> | | | | | | | | |
| FREEPORT MCMORAN CP&GLD (FCX) | 1/20/09 | 124.000 | 11.854 | 1,469.89 | 4,240.80 | 2,770.91 LT | | |
| | 12/12/12 | 36.000 | 32.545 | 1,171.61 | 1,231.20 | 59.59 ST | | |
| Total | | 160.000 | | 2,641.50 | 5,472.00 | 2,770.91 LT | 200.00 | 3.65 |
| | | | | | | 59.59 ST | | |
| <i>Share Price: \$34.200; Next Dividend Payable 02/20/13</i> | | | | | | | | |
| GENERAL ELECTRIC CO (GE) | 6/24/03 | 423.000 | 30.000 | 12,690.00 | 8,878.77 | (3,811.23) LT | | |
| | 3/15/04 | 162.000 | 30.450 | 4,932.90 | 3,400.38 | (1,532.52) LT | | |
| | 7/9/10 | 155.000 | 14.874 | 2,305.49 | 3,253.45 | 947.96 LT | | |
| Total | | 740.000 | | 19,928.39 | 15,532.60 | (4,395.79) LT | 562.40 | 3.62 |
| <i>Share Price \$20.990; Next Dividend Payable 01/25/13</i> | | | | | | | | |
| GOOGLE INC-CL A (GOOG) | 10/13/08 | 10.000 | 359.977 | 3,599.77 | 7,073.80 | 3,474.03 LT | | |
| | 10/29/08 | 19.000 | 361.700 | 6,872.30 | 13,440.22 | 6,567.92 LT | | |
| | 3/7/11 | 15.000 | 593.291 | 8,899.37 | 10,610.70 | 1,711.33 LT | | |
| Total | | 44.000 | | 19,371.44 | 31,124.72 | 11,753.28 LT | — | — |
| <i>Share Price: \$707.380</i> | | | | | | | | |

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010208 MSGD115 010526

Select UMA Active Assets Account
552-128026-482

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COMMON STOCKS (CONTINUED)

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|------------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------|-------------------------|------------------|
| L-3 COMMUNICATIONS HOLDING INC (LLL) | 1/3/07 | 146.000 | 78.407 | 11,447.48 | 11,186.52 | (260.96) LT | | |
| | 11/8/11 | 24.000 | 68.278 | 1,638.67 | 1,838.88 | 200.21 LT | | |
| | 12/14/11 | 15.000 | 62.021 | 930.32 | 1,149.30 | 218.98 LT | | |
| | Total | 185.000 | | 14,016.47 | 14,174.70 | 158.23 LT | 370.00 | 2.61 |
| <i>Share Price \$76.620, Next Dividend Payable 03/2013</i> | | | | | | | | |
| LIBERTY INTERACTIVE CO INTER A (LINTA) | 3/17/08 | 94.000 | 14.198 | 1,334.59 | 1,849.92 | 515.33 LT | | |
| | 1/28/09 | 250.000 | 3.074 | 768.39 | 4,920.00 | 4,151.61 LT | | |
| | Total | 344.000 | | 2,102.98 | 6,769.92 | 4,666.94 LT | — | — |
| <i>Share Price \$19.680</i> | | | | | | | | |
| LIBERTY MEDIA CO LIBERTY CAP A (LMCA) | 1/29/09 | 60.000 | 5.498 | 329.86 | 6,960.60 | 6,630.74 LT | — | — |
| <i>Share Price \$116.010</i> | | | | | | | | |
| MICROSOFT CORP (MSFT) | 4/28/06 | 174.000 | 24.188 | 4,208.71 | 4,647.48 | 438.77 LT | | |
| | 10/4/06 | 200.000 | 27.940 | 5,588.00 | 5,341.93 | (246.07) LT | | |
| | 1/18/07 | 300.000 | 31.020 | 9,305.97 | 8,012.90 | (1,293.07) LT | | |
| | 7/14/11 | 280.000 | 26.683 | 7,471.16 | 7,478.71 | 7.55 LT | | |
| | Total | 954.000 | | 26,573.84 | 25,481.05 | (1,092.82) LT | 877.68 | 3.44 |
| <i>Share Price \$26.710, Next Dividend Payable 03/2013</i> | | | | | | | | |
| MONSANTO CO/NEW (MON) | 1/21/10 | 32.000 | 81.103 | 2,595.28 | 3,028.80 | 433.52 LT | | |
| | 1/28/10 | 55.000 | 77.253 | 4,248.91 | 5,205.75 | 956.84 LT | | |
| | 2/5/10 | 55.000 | 76.541 | 4,209.74 | 5,205.75 | 996.01 LT | | |
| | 3/9/10 | 25.000 | 71.688 | 1,792.19 | 2,366.25 | 574.06 LT | | |
| | 5/7/10 | 35.000 | 58.963 | 2,063.71 | 3,312.75 | 1,249.04 LT | | |
| | 10/11/12 | 23.000 | 89.145 | 2,050.34 | 2,176.95 | 126.61 ST | | |
| | Total | 225.000 | | 16,960.17 | 21,296.25 | 4,209.47 LT | 337.50 | 1.58 |
| <i>Share Price \$94.650, Next Dividend Payable 01/2013</i> | | | | | | | | |

CONTINUED

010208 MSGDT11:5 010527

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------------------------|-------------------------|------------------|
| NASDAQ OMX GROUP INC (THE) (NDAQ) | 6/4/08 | 53.000 | 32.539 | 1,724.55 | 1,324.47 | (400.08) LT | | |
| | 7/9/08 | 130.000 | 24.861 | 3,231.93 | 3,248.70 | 16.77 LT | | |
| | 11/11/09 | 190.000 | 18.609 | 3,535.62 | 4,748.10 | 1,212.48 LT | | |
| | 12/14/11 | 6.000 | 24.170 | 145.02 | 149.94 | 4.92 LT | | |
| | 10/11/12 | 47.000 | 23.519 | 1,105.39 | 1,174.53 | 69.14 ST | | |
| | Total | 426.000 | | 9,742.51 | 10,645.74 | 834.09 LT 69.14 ST | 221.52 | 2.08 |
| <i>Share Price: \$24.990; Next Dividend Payable 03/2013</i> | | | | | | | | |
| NATIONAL OILWELL VARCO INC (NOV) | 1/13/09 | 83.000 | 26.332 | 2,185.54 | 5,673.05 | 3,487.51 LT | | |
| | 12/12/12 | 18.000 | 66.717 | 1,200.90 | 1,230.30 | 29.40 ST | | |
| | Total | 101.000 | | 3,386.44 | 6,903.35 | 3,487.51 LT 29.40 ST | 52.52 | 0.76 |
| <i>Share Price: \$68.350; Next Dividend Payable 03/2013</i> | | | | | | | | |
| NETAPP INC COM (NTAP) | 2/24/11 | 49.000 | 50.723 | 2,485.42 | 1,643.95 | (841.47) LT | | |
| | 2/25/11 | 97.000 | 52.413 | 5,084.07 | 3,254.35 | (1,829.72) LT | | |
| | 3/10/11 | 20.000 | 48.184 | 963.68 | 671.00 | (292.68) LT | | |
| | 10/19/11 | 147.000 | 38.347 | 5,637.01 | 4,931.85 | (705.16) LT | | |
| | 12/14/11 | 8.000 | 37.018 | 296.14 | 268.40 | (27.74) LT | | |
| | 10/11/12 | 141.000 | 29.166 | 4,112.43 | 4,730.55 | 618.12 ST | | |
| | Total | 462.000 | | 18,578.75 | 15,500.10 | (3,696.77) LT 618.12 ST | — | — |
| <i>Share Price: \$33.550</i> | | | | | | | | |
| NIKE INC B (NKE) | 6/7/11 | 206.000 | 40.859 | 8,416.94 | 10,629.60 | 2,212.66 LT | | |
| | 8/5/11 | 88.000 | 41.938 | 3,690.51 | 4,540.80 | 850.29 LT | | |
| | Total | 294.000 | | 12,107.45 | 15,170.40 | 3,062.95 LT | 123.48 | 0.81 |
| <i>Share Price: \$51.600; Next Dividend Payable 03/2013</i> | | | | | | | | |
| NUCOR CORPORATION (NUE) | 2/17/09 | 75.000 | 40.802 | 3,060.14 | 3,237.00 | 176.86 LT | | |
| | 7/6/09 | 25.000 | 40.667 | 1,016.68 | 1,079.00 | 62.32 LT | | |
| | 11/11/09 | 75.000 | 41.637 | 3,122.79 | 3,237.00 | 114.21 LT | | |
| | 10/19/11 | 64.000 | 34.838 | 2,229.66 | 2,762.24 | 532.58 LT | | |
| | Total | 239.000 | | 9,429.27 | 10,315.24 | 885.97 LT | 351.33 | 3.40 |
| <i>Share Price: \$43.160; Next Dividend Payable 02/11/13</i> | | | | | | | | |

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CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------|-------------------------|------------------|
| ORACLE CORP (ORCL) | 10/19/11 | 3 000 | 31 428 | 94 28 | 99.96 | 5.68 LT | | |
| | 11/8/11 | 251 000 | 33 544 | 8,419 64 | 8,363 32 | (56.32) LT | | |
| | 12/14/11 | 74,000 | 29.848 | 2,208.74 | 2,465 68 | 256 94 LT | | |
| | Total | 328,000 | | 10,722 66 | 10,928.96 | 206 30 LT | 78 72 | 0.72 |
| <i>Share Price. \$33.320, Next Dividend Payable 03/2013</i> | | | | | | | | |
| PALL CORPORATION (PLL) | 1/18/07 | 164,000 | 34 334 | 5,630 77 | 9,882.64 | 4,251.87 LT | 164 00 | 1.65 |
| <i>Share Price. \$60.260; Next Dividend Payable 02/2013</i> | | | | | | | | |
| PENTAIR LTD (PNR) | 6/28/06 | 9,000 | 32 791 | 295 12 | 442 35 | 147 23 LT | | |
| | 1/3/07 | 15 000 | 35 123 | 526.84 | 737.25 | 210.41 LT | | |
| | 11/7/07 | 33 000 | 30.276 | 999 12 | 1,621.95 | 622.83 LT | | |
| | 11/8/07 | 24,000 | 30 113 | 722.71 | 1,179.60 | 456 89 LT | | |
| | 10/11/12 | 31 000 | 43 708 | 1,354.94 | 1,523 65 | 168 71 ST | | |
| | Total | 112 000 | | 3,898.73 | 5,504 80 | 1,437 36 LT | 98 56 | 1.79 |
| <i>Share Price. \$49 150, Next Dividend Payable 02/2013</i> | | | | | | | | |
| PEPSICO INC NC (PEP) | 10/1/96 | 351,000 | 26 220 | 9,203 37 | 24,018 93 | 14,815 56 LT | | |
| | 11/8/11 | 3,000 | 63 587 | 190 76 | 205.29 | 14 53 LT | | |
| | Total | 354,000 | | 9,394.13 | 24,224.22 | 14,830 09 LT | 761 10 | 3 14 |
| <i>Share Price. \$68.430, Next Dividend Payable 01/02/13</i> | | | | | | | | |
| PROCTER & GAMBLE (PG) | 3/12/02 | 148 000 | 34 103 | 5,047.17 | 10,047 72 | 5,000 55 LT | 332 70 | 3 31 |
| <i>Share Price. \$67.890, Next Dividend Payable 02/2013</i> | | | | | | | | |
| QUALCOMM INC (QCOM) | 7/29/11 | 80 000 | 55 096 | 4,407.65 | 4,948 77 | 541.12 LT | | |
| | 8/5/11 | 44,000 | 51 050 | 2,246.22 | 2,721.82 | 475.60 LT | | |
| | 8/12/11 | 93,000 | 50 403 | 4,687.44 | 5,752 94 | 1,065.50 LT | | |
| | 8/23/11 | 47,000 | 47.189 | 2,217 90 | 2,907.40 | 689 50 LT | | |
| | Total | 264,000 | | 13,559 21 | 16,330.93 | 2,771 72 LT | 264 00 | 1 61 |
| <i>Share Price. \$61.860; Next Dividend Payable 03/2013</i> | | | | | | | | |
| SANDISK CORP (SNDK) | 7/6/06 | 41,000 | 48.907 | 2,005.19 | 1,783.50 | (221.69) LT | | |
| | 1/11/08 | 50,000 | 28.708 | 1,435.39 | 2,175 00 | 739 61 LT | | |
| | 3/14/08 | 75,000 | 22 065 | 1,654 85 | 3,262 50 | 1 607.65 LT | | |
| | 1/26/12 | 26,000 | 47 268 | 1,228.96 | 1,131.00 | (97.96) ST | | |
| | 4/13/12 | 37,000 | 41.858 | 1,548.75 | 1,609 50 | 60 75 ST | | |

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|----------|-----------|------------|--------------|---------------------------|-------------------------|------------------|
| | Total | 229 000 | | 7,873.14 | 9,961.50 | 2,125.57 LT (37.21) ST | — | — |
| <i>Share Price: \$43.500</i> | | | | | | | | |
| SCHLUMBERGER LTD (SLB) | 6/10/10 | 105 000 | 58.131 | 6,103.73 | 7,276.35 | 1,172.62 LT | | |
| | 10/19/11 | 163 000 | 67.908 | 11,069.00 | 11,295.67 | 226.67 LT | | |
| | 11/8/11 | 98 000 | 76.466 | 7,493.69 | 6,791.26 | (702.43) LT | | |
| | 12/14/11 | 44,000 | 66.905 | 2,943.84 | 3,049.14 | 105.30 LT | | |
| | Total | 410 000 | | 27,610.26 | 28,412.42 | 802.16 LT | 451.00 | 1.58 |
| <i>Share Price: \$69.299, Next Dividend Payable 01/11/13</i> | | | | | | | | |
| SEAGATE TECHNOLOGY PLC (STX) | 5/1/07 | 70,000 | 21.631 | 1,514.19 | 2,129.40 | 615.21 LT | | |
| | 11/11/09 | 75 000 | 16.279 | 1,220.89 | 2,281.50 | 1,060.61 LT | | |
| | 8/23/10 | 310,000 | 10.960 | 3,397.72 | 9,430.20 | 6,032.48 LT | | |
| | 10/12/12 | 10 000 | 28.103 | 281.03 | 304.20 | 23.17 ST | | |
| | Total | 465 000 | | 6,413.83 | 14,145.30 | 7,708.30 LT 23.17 ST | 706.80 | 4.99 |
| <i>Share Price: \$30.420, Next Dividend Payable 03/2013</i> | | | | | | | | |
| TE CONNECTIVITY LTD NEW (TEL) | 6/28/06 | 103 666 | 31.346 | 3,249.56 | 3,848.08 | 598.52 LT | | |
| | 1/3/07 | 62 333 | 35.609 | 2,219.64 | 2,313.80 | 94.16 LT | | |
| | 11/7/07 | 107,000 | 32.989 | 3,529.79 | 3,971.84 | 442.05 LT | | |
| | 11/8/07 | 75,000 | 33.037 | 2,477.78 | 2,784.00 | 306.22 LT | | |
| | 11/9/07 | 56,001 | 32.868 | 1,840.66 | 2,078.76 | 238.10 LT | | |
| | Total | 404,000 | | 13,317.43 | 14,996.48 | 1,679.05 LT | 339.36 | 2.26 |
| <i>Share Price: \$37.120, Next Dividend Payable 03/2013</i> | | | | | | | | |
| TEXAS INSTRUMENTS (TXN) | 6/12/98 | 540 000 | 12.219 | 6,598.12 | 16,680.60 | 10,082.48 LT | 453.60 | 2.71 |
| <i>Share Price: \$30.890, Next Dividend Payable 02/2013</i> | | | | | | | | |
| THE ADT CORPORATION COM (ADT) | 11/7/07 | 66,000 | 26.946 | 1,778.45 | 3,068.34 | 1,289.89 LT | | |
| | 11/8/07 | 50,000 | 26.429 | 1,321.43 | 2,324.50 | 1,003.07 LT | | |
| | Total | 116 000 | | 3,099.88 | 5,392.84 | 2,292.96 LT | 58.00 | 1.07 |
| <i>Share Price: \$46.490; Next Dividend Payable 03/2013</i> | | | | | | | | |

CONTINUED



CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|----------------|-----------|------------------|------------------|------------------------|-------------------------|------------------|
| THERMO FISHER SCIENTIFIC INC (TMO) | 6/11/10 | 15.000 | 51.550 | 773.25 | 956.70 | 183.45 LT | | |
| | 10/4/10 | 181.000 | 47.449 | 8,588.34 | 11,544.18 | 2,955.84 LT | | |
| | 10/19/11 | 83.000 | 51.219 | 4,251.15 | 5,293.74 | 1,042.59 LT | | |
| | 11/8/11 | 15.000 | 50.056 | 750.84 | 956.70 | 205.86 LT | | |
| | 12/14/11 | 46.000 | 43.706 | 2,010.49 | 2,933.88 | 923.39 LT | | |
| | Total | 340.000 | | 16,374.07 | 21,685.20 | 5,311.13 LT | 204.00 | 0.94 |
| <i>Share Price: \$63.780, Next Dividend Payable 01/15/13</i> | | | | | | | | |
| TYCO INTERNATIONAL LTD NEW (TYC) | 6/28/06 | 39.666 | 20.801 | 825.11 | 1,160.23 | 335.12 LT | | |
| | 1/3/07 | 62.333 | 23.630 | 1,472.93 | 1,823.24 | 350.31 LT | | |
| | 11/7/07 | 139.000 | 20.453 | 2,842.97 | 4,065.75 | 1,222.78 LT | | |
| | 11/8/07 | 99.001 | 20.409 | 2,020.55 | 2,895.78 | 875.23 LT | | |
| | Total | 340.000 | | 7,161.56 | 9,945.00 | 2,783.44 LT | 204.00 | 2.05 |
| <i>Share Price: \$29.250, Next Dividend Payable 02/20/13</i> | | | | | | | | |
| UNITED PARCEL SERVICE INC CL-B (UPS) | 3/16/11 | 107.000 | 70.978 | 7,594.63 | 7,889.11 | 294.48 LT | | |
| | 3/30/11 | 70.000 | 74.703 | 5,229.18 | 5,161.10 | (68.08) LT | | |
| | 5/17/11 | 78.000 | 73.348 | 5,721.12 | 5,750.94 | 29.82 LT | | |
| | Total | 255.000 | | 18,544.93 | 18,801.15 | 256.22 LT | 581.40 | 3.09 |
| <i>Share Price: \$73.730, Next Dividend Payable 03/20/13</i> | | | | | | | | |
| UNITEDHEALTH GP INC (UNH) | 6/28/06 | 59.000 | 43.710 | 2,578.89 | 3,200.16 | 621.27 LT | | |
| | 6/28/06 | 111.000 | 43.710 | 4,851.79 | 6,020.64 | 1,168.85 LT | | |
| | 6/28/06 | 2.000 | 43.710 | 87.44 | 108.48 | 21.04 LT | | |
| | 6/28/06 | 7.000 | 43.710 | 305.97 | 379.68 | 73.71 LT | | |
| | 4/1/09 | 66.000 | 20.692 | 1,365.67 | 3,579.84 | 2,214.17 LT | | |
| | 4/1/09 | 134.000 | 20.692 | 2,772.71 | 7,268.16 | 4,495.45 LT | | |
| | 5/9/12 | 61.000 | 55.623 | 3,393.01 | 3,308.64 | (84.37) ST | | |
| | 5/9/12 | 125.000 | 55.623 | 6,952.89 | 6,780.00 | (172.89) ST | | |
| | 7/10/12 | 80.000 | 55.560 | 4,444.83 | 4,339.20 | (105.63) ST | | |
| | | | | | | | | |

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CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|--------------------------------------------------------------|--------------|-----------|-----------|------------|--------------|------------------------------|-------------------------|------------------|
| Total | | 645,000 | | 26,753.20 | 34,984.80 | 8,594.49 LT (362.89) ST | 548.25 | 1.56 |
| <i>Share Price: \$54.240, Next Dividend Payable 03/2013</i> | | | | | | | | |
| VERTEX PHARMACEUTICALS (VRTX) | 11/12/08 | 9,000 | 26.729 | 240.56 | 377.10 | 136.54 LT | | |
| | 11/13/08 | 13,000 | 26.628 | 346.17 | 544.70 | 198.53 LT | | |
| | 11/18/08 | 37,000 | 26.585 | 983.63 | 1,550.30 | 566.67 LT | | |
| | 2/11/11 | 33,000 | 38.162 | 1,259.36 | 1,382.70 | 123.34 LT | | |
| | 11/8/11 | 20,000 | 30.579 | 611.57 | 838.00 | 226.43 LT | | |
| | 12/12/12 | 50,000 | 42.099 | 2,104.93 | 2,095.00 | (9.93) ST | | |
| | Total | 162,000 | | 5,546.22 | 6,787.80 | 1,251.51 LT (9.93) ST | — | — |
| <i>Share Price: \$41.900</i> | | | | | | | | |
| VISA INC CL A (V) | 6/11/10 | 41,000 | 75.538 | 3,097.05 | 6,214.78 | 3,117.73 LT | | |
| | 3/7/11 | 195,000 | 74.475 | 14,522.55 | 29,558.10 | 15,035.55 LT | | |
| | Total | 236,000 | | 17,619.60 | 35,772.88 | 18,153.28 LT | 311.52 | 0.87 |
| <i>Share Price: \$151.580; Next Dividend Payable 03/2013</i> | | | | | | | | |
| WALT DISNEY CO HLDG CO (DIS) | 1/17/01 | 492,000 | 33.120 | 16,295.10 | 24,496.68 | 8,201.58 LT | 359.00 | 1.50 |
| <i>Share Price: \$49.790; Next Dividend Payable 12/2013</i> | | | | | | | | |
| WEATHERFORD INTERNATIONAL LTD (WFT) | 4/13/07 | 650,000 | 25.355 | 16,480.75 | 7,273.50 | (9,207.25) LT | | |
| | 4/1/09 | 258,000 | 11.454 | 2,955.21 | 2,887.02 | (68.19) LT | | |
| | 11/8/11 | 19,000 | 16.729 | 317.85 | 212.61 | (105.24) LT | | |
| | 12/14/11 | 213,000 | 13.378 | 2,849.41 | 2,383.47 | (465.94) LT | | |
| | 10/11/12 | 196,000 | 12.299 | 2,410.53 | 2,193.24 | (217.29) ST | | |
| | 12/12/12 | 242,000 | 10.786 | 2,610.19 | 2,707.98 | 97.79 ST | | |
| | Total | 1,578,000 | | 27,623.94 | 17,657.82 | (9,846.62) LT (119.50) ST | — | — |
| <i>Share Price: \$11.190</i> | | | | | | | | |
| XILINX INC (XLNX) | 6/7/12 | 265,000 | 32.398 | 8,585.47 | 9,503.15 | 917.68 ST | | |
| | 9/14/12 | 93,000 | 35.531 | 3,304.35 | 3,335.07 | 30.72 ST | | |
| | Total | 358,000 | | 11,889.82 | 12,838.23 | 948.40 ST | 315.04 | 2.45 |
| <i>Share Price: \$35.861, Next Dividend Payable 02/2013</i> | | | | | | | | |
| YUM BRANDS INC (YUM) | 12/21/12 | 120,000 | 63.774 | 7,652.86 | 7,968.00 | 315.14 ST | 160.80 | 2.01 |
| <i>Share Price: \$66.400, Next Dividend Payable 02/2013</i> | | | | | | | | |



Morgan Stanley

CLIENT STATEMENT | For the Period December 1-31, 2012

Holdings

Select UMA Active Assets Account
552-128026-482

THE SADIE & LOUIS ROTH
FOUNDATION, INC. (N.P.I.)

INTERESTED PARTY COPY

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Accrued Interest | Yield % |
|--------|---------------------------|--------------|----------------|----------------------------------|------------------------------------------------|---------|
| STOCKS | 98.5% | \$974,800.75 | \$1,340,755.08 | \$357,910.67 LT \$8,043.57 ST | \$18,371.01 \$0.00 | 1.37% |